



DEPARTMENT OF THE NAVY  
HEADQUARTERS UNITED STATES MARINE CORPS  
2 NAVY ANNEX  
WASHINGTON, DC 20380-1775

MCO 5210.11D  
CCIP-3:rvr  
27 Jan 1986

MARINE CORPS ORDER 5210.11D W/Ch 1-2

From: Commandant of the Marine Corps  
To: Distribution List

Subj: Records Management Program for the Marine Corps

Ref: (a) MARCORMAN 1980, Sect. C  
(b) Title V, Public Law 754, 81st Congress - Federal  
Records Act of 1950 (44 USC 392-401) (NOTAL)  
(c) Federal Information Resources Management Regulations  
(FIRM) Parts 201-22 and 201-45; and 36 CFR  
Chapter 12 (NOTAL)  
(d) SECNAVINST 5210.8B (NOTAL)  
(e) SECNAVINST P5212.5B

Encl: (1) Bibliography of Records Management Program References  
(2) Records Management Program Definitions  
(3) Records Management Guidance and Principles

1. Purpose. To state the objectives of the Records Management Program for the Marine Corps and the responsibility for its administration.

2. Cancellation. MCO 5210.11C.

3. Definition. Records management is defined as an active, continuing program of managing and controlling the creation, maintenance, use, and disposition of the records used within an organization to document and transmit its business. The program elements of a records management program are reports, forms, directives, correspondence, office equipment, copy making, word processing, microform, and documentation management (records maintenance and disposition to include vital records).

4. Authority. Reference (a) directs the application of management improvement techniques to enhance the effectiveness, efficiency, and/or economy of Marine Corps administrative functions. Reference (b) requires that the head of each Federal agency establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Reference (c) prescribes policies and promulgates standards, procedures, and techniques for the management of the records of the Federal Government.

5. Records Management Program. By reference (a), the Commandant of the Marine Corps, in consonance with references (b) through (e), established the subject program as a part of the Marine Corps management improvement effort. The Records Management Program is an active, continuing management improvement effort designed to provide effective control over the creation, organization, maintenance, use, and disposition of Marine Corps records. Enclosure (1) provides a bibliography of Records Management Program references.

6. Objective. The objective of the Records Management Program is to increase management efficiencies in paperwork operations and administrative responsiveness by applying improved record management techniques with a minimum expenditure of manpower, material, and money. The objective is achieved through the application of interrelated management techniques (defined briefly in enclosure (2)) which will assist all levels of management to:

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- a. Control the creation of records and ensure the efficient and economical use of reports, forms, correspondence, directives, and similar issuances.
- b. Improve and simplify records systems and paperwork processes; and ensure an adequate historical record of Marine Corps organization, policies, procedures, and transactions.
- c. Keep routine operational paperwork to a minimum, eliminate unnecessary and duplicate files, and destroy without filing that material which has no value for record purposes.
- d. Analyze mail-handling and routing systems and the use of filing equipment, supplies, and reproduction of records.
- e. Ensure systematic preservation and disposal of records by transferring records to the appropriate records center for retention in accordance with authorized records retention standards.
- f. Ensure all records are covered by authorized retention standards.
- g. Ensure that records identified as essential to the conduct of emergency functions and those that preserve the rights and interest of Marine Corps personnel are current, complete, adequately protected, accessible, and usable.
- h. Ensure microform systems and equipment are used in accordance with current regulations and directives.
- i. Ensure that efficiency and economy are exercised in the use of existing office equipment and in the selection of new or additional office equipment.
- j. Ensure that word processing technology is used wherever it can contribute to effectiveness and efficiency in a valid, cost-effective manner, and that word processing systems and equipment are acquired and managed in an efficient and economical manner.
- k. Evaluate current copy making practices and develop effective ways of reducing overall copy making costs to the Marine Corps.

## 7. Program Responsibility

### a. Commandant of the Marine Corps

#### (1) The Commandant of the Marine Corps (CCIP) is responsible for:

- (a) Issuing instructions and procedures for the various records management techniques.
- (b) Evaluating program effectiveness and providing program guidance and technical assistance to achieve the objective of the program in compliance with references (b) through (e).
- (c) Serving as Marine Corps liaison with higher authorities and with other Government agencies in matters relating to records management.
- (d) Acting as the focal point for referral of specific records problems or for management assistance.

#### (2) Heads of Headquarters staff agencies are responsible for:

- (a) Providing support to the Records Management Program by exercising effective controls over the creation of records and adhering to current procedures and standards established for the organization, maintenance, and disposition of records.
- (b) Designating, at the time of periodic files and recordkeeping inspections, responsible persons from their areas to assist the inspection team.

(c) Submitting recommendations to the Commandant of the Marine Corps (CCIP) concerning actions to improve records management techniques.

b. Marine Corps commanders are responsible for the supervision and execution of the Records Management Program within their respective commands. Enclosure (3) provides guidance and principles for applying records management techniques. This enclosure will be issued as a technical publication under the Information Resources Management Standards and Guidelines Program at a future date.

(1) Commanding Generals. The local records management program shall be reviewed to determine whether existing techniques are formally established and sufficiently effective to meet local needs and whether additional techniques are required to meet such needs. (Organizational placement of the program as a function of the activity's management engineering office is recommended.)

(2) Commanding Officers. The degree of implementation of a records management program is dependent on the number of techniques and the extent of application required to assure effective records management in an activity. If several of the techniques listed in enclosure (3) can be applied extensively, then an organizational unit at the staff level will be assigned the function of coordinating the records management program. Otherwise, the commanding officer may assign to an appropriate organizational unit the responsibility for applying techniques as required. Regardless, records management should be recognized as a true management function and not merely as a housekeeping operation.

c. Records Disposition Instructions (Proposed)

(1) Records management program correspondence files, reports, and other records that relate to the various records management elements such as forms, reports, mail and file management; the use of microforms; word processing; records management surveys; vital records program and all other aspects of records management not covered in specific paragraphs of reference (e) and directives applicable to this Headquarters.

Retention Period: Destroy when 6 years old. (Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference purposes.)

(2) Copies of transmittals transferring Marine Corps records to the National Archives or to Federal records centers, and related correspondence authorizing the destruction of Marine Corps records.

Retention Period: Destroy 1 year after records have been destroyed provided CMC (CCIP) have copies; otherwise retain for 6 years after records have been destroyed.

8. Action. In order to fulfill the objective of the Records Management Program and to reduce administrative burdens and promote and improve paperwork efficiency, all commanders shall:

a. Designate in writing personnel to manage and monitor the command's records management program.

b. Encourage continuous improvement in all local records management techniques.

c. Reduce records holdings to those essential for administrative responsiveness and ensure realistic and economical application of resources and equipment applicable to recordkeeping functions.

d. Ensure preservation of records of permanent value.

e. Recover excess filing equipment through the implementation of management improvement actions and timely transfer or destruction of records; ensure compliance with the prerequisite actions as specified in enclosure (3).

f. Conduct an biennial review of the current edition of SECNAVINST 5212.5.

MCO 5210.11D  
27 Jan 1986

g. Submit recommendations to the Commandant of the Marine Corps (CCIP) concerning actions to improve records management techniques and data on noteworthy accomplishments achieved through local improvements considered applicable elsewhere in the Marine Corps.

9. Reserve Applicability. This Order is applicable to the Marine Corps Reserve.

PAUL D. SLACK  
Director  
Command, Control, Communications  
and Computer (C4) Systems Division

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Copy to: 8145001

CORRECTED COPY  
(page 5 only)

MARINE CORPS ORDER 5210.11D Ch 1

From: Commandant of the Marine Corps  
To: Distribution List

Subj: Records Management Program for the Marine Corps

Encl: (1) New page inserts to MCO 5210.11D

1. Purpose. To transmit new page inserts and direct pen changes to the basic Order.

2. Action

a. Enclosure (3). Remove present pages 7 to 16 and replace with new pages 7 to 20 contained in the enclosure.

b. Appendix A of Enclosure (3). Remove present pages 17 to 26 and replace with new pages A-1 to A-13 contained in the enclosure.

c. In the "Report Required" section of the letterhead page, change "par. 8g" to read "par. 8f".

d. In the basic Order, paragraph 7b, page 3, delete last sentence.

e. In enclosure (1), "References" column, item 7, change "Department of the Navy Guide to Forms Management, AOINST 5213.31" to read "Department of the Navy Forms Management Program, SECNAVINST 5213.10".

f. On page A-5, under "Mailing and Shipping Address" column, third line, change "Winebago" to read "Winnebago".

g. On page A-6, under "GSA Region" column, item 10, change "Alaska/" to read "Alaska, Hawaii, and Pacific Ocean (except Samoa)/...."

h. Change "CCIP" to "HQSP-5" throughout the Order.

3. Summary of Changes

a. Removes the responsibility for preparing, publishing and maintaining current this Order from the CMC (CCIP) to CMC (HQSP-5).

b. Identifies the National Archives and Records Administration (NARA) as a separate entity--not as a part of General Services Administration.

c. Specifies the year in which the biennial review of the current edition of SECNAVINST 5212.5 begins.

d. Clarifies files maintenance instructions in paragraphs 6c(2) (c), 6c(13), and 6c(15) of enclosure (3).

e. Includes current procedures regarding purchasing filing equipment.

f. Includes current disposition instructions for site audit records.

g. Provides information regarding services offered by Federal records centers.

h. Provides guidance regarding electronic recordkeeping.

4. Change Notation. Significant changes contained in Change 1 are denoted by an asterisk (\*) symbol.

5. Filing Instructions. This Change transmittal will be filed immediately following the signature page of the basic Order.

LEO J. KELLY  
By direction

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less 8180016

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DEPARTMENT OF THE NAVY  
HEADQUARTERS UNITED STATES MARINE CORPS  
WASHINGTON, DC 20380-0001

MCO 5210.11D Ch 2  
ARAE  
21 Mar 94

C O R R E C T E D C O P Y

MARINE CORPS ORDER 5210.11D Ch 2

From: Commandant of the Marine Corps  
To: Distribution List

Subj: RECORDS MANAGEMENT PROGRAM FOR THE MARINE CORPS

1. Purpose. To cancel a reporting requirement contained in the basic order.
2. Information. The Review of the Disposal of Navy and Marine Corps Records Manual (Report Control Symbol GS-5210-13) is hereby canceled. The requirement is no longer needed.
3. Action. Delete the above report from paragraph 8f of the basic Order.
4. Filing Instructions. File this change transmittal immediately behind the signature page of Change 1.

LEO J. KELLY  
By direction

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Copy to: 7000110 (55)  
7000093/8145005 (2)  
7000099, 144, 8145001 (1)

MCO 5210.11D  
27 Jan 1986

BIBLIOGRAPHY OF RECORDS MANAGEMENT PROGRAM REFERENCES

References	Correspondence Mgmt	Documentation Mgmt	Directives Mgmt	Forms Mgmt	Reports Mgmt	Microform Mgmt	Copy Mgmt	Office Equipment Mgmt	Word Processing Mgmt
(All references shown herein refer to the current editions.)									
Acquisition and Control of Classes 3 and 4 Plant Property (Station Property) and Organic (Minor) Property, MCO 4200.9	X					X	X	X	X
Acquisition, Replacement, Utilization, and Maintenance of Office Furniture and Office Machines, MCO 10460.2	X					X	X	X	X
Catalog of Naval Shore Activities - Includes Part II, Standard Navy Distribution List (Unclassified), OPNAV P09B3-105			X						
Congressional Correspondence, MCO 5216.11	X		X						
Correspondence Codes for HQMC Activities MCO 5216.9	X								
Department of the Navy Correspondence Manual, SECNAVINST 5216.5	X	X	X						
Department of the Navy Guide to Forms Management, ACTINST 5213.31				X					
Department of the Navy Information Security Program Regulations, OPNAVINST 5510.1	X	X	X						
Department of the Navy Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11	X	X	X						
Department of the Navy Reports Management Program, SECNAVINST 5214.2					X				
Department of the Navy Security Classification Guidance, OPNAVINST 5513.1	X	X	X	X	X	X	X	X	X
Disposal of Navy and Marine Corps Records, SECNAVINST P5212.5		X							
Guide for Estimating Office Costs, OPNAVINST 5210.8	X	X	X	X	X	X	X	X	X
Information Requirements Management, MCO 5214.2					X				
Life Cycle Management for Automated Information Systems (LCM-AIS), MCO P5231.1		X				X			
Management of Blank Forms in the Marine Corps, MCO 5213.7				X					
Management of Federal Reporting Requirements, OMB Circular A-40					X				
Marine Corps Directives Checklist, MCBul 5215 Series			X						
Marine Corps Directives System, MCO P5215.1			X						
Marine Corps Micrographic Management Program, MCO 5210.13						X			
Marine Corps Publications and Printing Regulations, MCO P5600.31									
Marine Corps Stocklist, Index to Authorized Publications in Stock, SL-1-3				X					
Marine Corps Stocklist, Special List for Blank Forms, SL-8-09993A				X					
The Marine Corps Technical Publications System, MCO P5215.17			X						
Microform Policy, SECNAVINST 5210.12						X			
Navy Cognizance I Supply System Listing of Forms and Publications, NAVSUP 2002 (Microfiche)				X					
Navy Consolidated Checklist, NAVPUBINST 5215.3 Series			X						
Policies for the Management and Control of DoD Information Requirements, DoDDir 5000.19					X				
Records Management Program for the Department of the Navy, SECNAVINST 5210.8	X	X	X	X	X	X	X	X	X
Recurring Information Requirements Checklist, MCBul 5214 Series					X				
Standard Navy Distribution List (SNDL), OPNAV P09B3-107 (Classified), Part I						X			
Standard Subject Identification Codes on Navy-Marine Corps Messages, OPNAVINST 2100.1		X	X	X	X				



MCO 5210.11D  
27 Jan 1986

References	Correspondence Mgmt	Disposition Mgmt	Files Mgmt	Forms Mgmt	Information Retrieval Mgmt	Microfilm Mgmt	Office Equipment Mgmt	Word Processing Mgmt
(All references shown herein refer to the current editions.)								
Usage of Administrative Action Form, NAVMC 10274, MCO 5210.2	X							

CONTINUED

1. Records Management Handbooks

Computer Output Microfilm, NSN 7610-00-117-8777, 1976  
Correspondence Management, NSN 7610-01-187-3858  
Disposition of Federal Records, NSN 7610-01-055-8704, 1981  
Federal Archives and Records Centers, NSN 7610-00-298-6904, 1979  
Files Equipment and Supplies, NSN 7610-01-055-8703, 1981  
Files Operations, NSN 7610-00-985-6973, 1981  
Forms Management, NSN 7610-00-142-9363  
Information Retrieval, NSN 7610-00-042-8762  
Information Retrieval System, NSN 7610-00-181-7577  
Managing the Mail, NSN 7610-00-181-8021, 1971  
Microfilming Records, NSN 7610-00-387-9972  
Microform Retrieval Equipment Guide, NSN 7610-00-181-7579  
Subject Filing, NSN 7610-00-926-2128, 1981  
U.S. Government Correspondence Manual, NSN 7610-00-889-3558, 1977  
Word Processing - Determining the Cost Effectiveness of WPE for Text Editing, NSN 7610-01-125-1020, 1981

2. Published by General Services Administration, National Archives and Records Service, Office of Records Management. Available through the "Federal or Military Standard Requisitioning and Issuing Procedures (FEDSTRIP/MILSTRIP)" or through any GSA Self-Service Store. Refer to GSA Supply Catalog for further details.

ENCLOSURE (1)

RECORDS MANAGEMENT PROGRAM DEFINITIONS

1. COPY MANAGEMENT. The development of sound management practices in the selection and use of copy making equipment.
2. CORRESPONDENCE MANAGEMENT. The streamlining and improvement of correspondence through the standardization of correspondence practices in accordance with the current edition of SECNAVINST 5216.5 (Department of the Navy Correspondence Manual) and through the development of supplements thereto and other written guides; and the use of form and guide letters, correspondence systems, and other shortcuts.
3. DIRECTIVES MANAGEMENT. The standardization and simplification of methods for issuing and maintaining directives and other similar issuances in order to eliminate those which duplicate, overlap, or conflict; identify gaps in written policy and procedures; improve the coverage of directives; preclude duplicate writing, printing, distribution; and improve reference aids.
4. DOCUMENTATION MANAGEMENT
  - a. Records Maintenance. The technique of planning, organizing, and maintaining records in an orderly fashion so as to provide for efficient filing and retrieving; and utilizing appropriate equipment and supplies to house and maintain records.
  - b. Records Disposition. The systematic preservation and security of valuable records and their orderly disposition through destruction, transfer, or retirement in accordance with scheduled instructions.
  - c. Records Systems. The development and installation of improved procedures, systems and equipment for receiving, organizing, processing, storing indexing, and retrieving documents in manual or mechanical, electronic, photographic, video, or similar techniques for miniaturization (Documentation Storage and Retrieval Systems); the establishment of controls for classifying, filing, and segregating records; and for mail techniques.
  - d. Miniaturization (Microphotography, etc.). A technique to aid in the creation, storage, and retrieval of records; the speeding of administrative processes; and in the storage of classified and/or long term records.
  - e. Vital Records. Those emergency operating records and rights and interest records essential for maintaining the continuity of Marine Corps activities during and following a national emergency.
    - (1) Emergency Operating Records are those records required to perform essential Marine Corps functions during and immediately following a national emergency (attack). They are necessary for the military effort and for mobilization and protection of material, manpower resources, services, and systems. These records include, but are not limited to, essential directives, organizational charts, mission and function statements, plans, programs, policies for carrying out the mission and functions, and emergency operating instructions and procedures. These records are maintained in paper form at specific designated alternate emergency operating locations.
    - (2) Rights and Interest Records are those records essential to the preservation of the legal rights and interest of individual Marines and the Marine Corps. These records contain information on proof of ownership, citizenship, financial interests, and legal proceedings and decisions, and include, but are not limited to, military/civilian personnel records, payroll and leave and earning records, engineering drawings, fiscal records indicating the financial status of the Marine Corps to include significant debts of/owed to the Marine Corps and selected historical and research records. Rights and interest records may be stored in Federal records centers or designated depositories. Vital records may be in paper form, microform, magnetic tapes, disc, etc., however, when vital records are maintained and eventually stored in other than paper form, equipment is needed to provide access to the information. A copy of the program or other information required to use the records must accompany the records to the designated alternate site; equipment required must be readily accessible and in working condition at all times in the event of an emergency.
5. FORMS MANAGEMENT. The standardization and improvement of necessary forms and related procedures; control of the creation of new forms; and the elimination of unnecessary forms.
6. MICROFORM MANAGEMENT. The process of providing guidance for the analysis, design, evaluation, and implementation of microform systems, and/or the use of microform equipment.
7. OFFICE EQUIPMENT MANAGEMENT. The proper selection and effective utilization of office equipment and laborsaving devices to provide for efficient record processes and paperwork operations.
8. REPORTS MANAGEMENT. The improvement of necessary reports and related procedures, control of the creation of new reports, and the elimination of unnecessary reports. The information may be summarized, transmitted on a recurring, regular, or periodic basis for use in determining policy, planning, controlling, and evaluating operations and performance, and for preparing other reports. The information may be in narrative, tabular, graphic, questionnaire, telephonic, punched card, tape, microform, or in other forms.
9. WORD PROCESSING MANAGEMENT. The process of providing guidance for the analysis, design, implementation, and evaluation of word processing systems and/or the use of word processing equipment.

ENCLOSURE (2)

RECORDS MANAGEMENT GUIDANCE AND PRINCIPLES

1. Correspondence and Mail Management

a. Handling Incoming Mail. Ensure that routine correspondence which should be handled by lower organizational levels is not being sent to top officials for reply, and conversely, that subordinates are not getting mail for reply which should be handled by top officials.

(1) Controls such as logs, routing sheets, and tickler systems should be applied only to important or VIP mail. Normally, no more than 5 percent of the mail should be controlled.

(2) Mail routing should be made directly to the action desk, with as few intermediate processing levels as possible.

(3) When personnel are absent, assign their responsibility for moving the mail to someone else.

(4) Make quick copies of incoming letters ONLY when requiring multiple action, and for offices requiring an incoming letter for information. Do not make unnecessary copies. Do not route the action copy of incoming letters via an information office.

(5) Practical and uniform time limits should be established and enforced for acknowledging and answering certain categories of incoming mail.

(6) A very small percent of the mail should require followup (congressional, heads of executive departments, etc.).

(7) Station messenger runs should coincide with peak mail times, and should be scheduled to permit processing of mail for most timely use of regular postal service mail pickup.

b. Preparation of Correspondence. Correspondence is an important link in the communications network. It promotes better understanding with employees and between the Marine Corps and the public; speeds operations; reduces paperwork costs and manpower needs.

(1) Refer to the current edition of SECNAVINST 5216.5 (Department of the Navy Correspondence Manual) for policy and procedures when preparing correspondence. If the manual does not provide the answer, use common sense. That manual does leave room for good judgment.

(2) Be responsive in correspondence to the public. Make sure questions have been clearly answered and explain any delay in replying. Do not use acronyms or internal terms that are not familiar to the recipient.

(3) Anticipate and plan ahead for peak correspondence workloads.

(4) Delegate letter-writing authority to subordinates. State clearly the nature and extent of the delegation; then, trust the writer's judgment.

(5) Clear letters with appropriate officials while in draft form. This avoids retyping the finished copy.

(6) Avoid changing letters unnecessarily when they are submitted for clearance, particularly just to inject personal preferences.

(7) Use a stenographer or dictating machine where available, instead of drafting letters by hand. If handwriting is necessary, double space the draft to make transcription by the typist easier.

(8) Require the stenographer or typist to check letters for spelling and punctuation.

(9) Use a memorandum instead of a letter for informal correspondence. When appropriate, use the standard form memorandum with preprinted "Information" on it. Its use reduces preparation cost--less typing is required.

(10) Use the routing sheet or the short-note reply; write the answer on the bottom or side of the incoming letters, except for replies to high Government officials. A more formal reply is required for the latter.

(11) Individualized correspondence should be prepared only if none of the following techniques is available or appropriate:

- (a) Form letter or message
- (b) Guide paragraphs
- (c) Preprinted postcard

Originators of correspondence should institute these techniques whenever possible.

(12) Word processing equipment should be considered by office with a high volume of repetitive/revision typing where form letters are inappropriate.

(13) Prepare copies of letters, memoranda, etc., only for those who have a real "need to know".

(14) Avoid making any more copies than necessary; do not make personal file copies - use the official file.

(15) Place only copies of important correspondence in the reading file. Destroy these copies after they have been routed to interested personnel.

(16) Use consolidated mailing when there are many routine letters going to the same activity.

(17) Prepare window envelopes for letters that are not classified.

(18) Prepare self-mailers for single-page material being given widespread distribution.

(19) Use the telephone, record important comments by simple notations, or document important decisions in a "Memorandum for the Record."

c. Outgoing Clearances and Reviews  
Correspondence should not be referred to other offices for clearance when the subject matter is within the authority of the preparing office to handle alone.

(1) Correspondence should not be sent to other offices for clearance without at least a need to keep them informed.

(2) Clearing offices should confine their review solely to aspects for which they are responsible.

(3) Correspondence that does not involve policy should not normally require clearance at each organizational level between preparing and signing offices.

(4) Once basic policy is approved, succeeding correspondence should not require the same clearance as the original basic policy document.

(5) As a general rule, clearance should be limited to one office within each organizational element to which correspondence is sent for review, and these clearing offices should be required to release documents within a reasonable period of time.

(6) If routing sheets are used for clearance, their format and instructions should be such that excessive reviews are discouraged.

(7) The use of covering briefs on correspondence should be limited. They should be brief, cover only essential highlights, confined to clearly defined types of mail, and conform to a prescribed standard format.

(8) Correspondence should be reviewed for editorial and stenographic correctness only once, preferably in the rough draft stage if one is used.

(9) The authority to sign various types of correspondence at all levels should be clearly defined in writing. As much mail as possible should be signed by preparing offices.

(10) The percentage of correspondence which is rewritten should be kept to a minimum. If excessive composition is required, appropriate refresher training should be scheduled.

(11) Preparing office symbols should be placed on outgoing correspondence as a reply reference.

(12) Written policy guidance should be provided concerning receiving levels, reply points, signature authority, office codes, rewrites, time limits, followup and outgoing clearances, and reviews.

2. Message Management. The standardization of message drafting techniques will prevent delays in transmission and eliminate misinterpretations and confusion by the recipient.

a. Determine if Message is Necessary. If addressed to activities in the continental United States (CONUS) must they have the information within 72 hours or will a letter or speedletter suffice?

b. Select Addressees. Refer to NTP 3, Supp-1 (Plain Language Address Directory) for proper abbreviated titles. Keep addressees to a minimum--restrict to those who need to act and/or need to know.

c. Check References

(1) Use only essential references. Use "NOTAL" (not to, nor needed by all) after references when document is not distributed to all addressees.

(2) If addressees do not have references, do they need them? Is "PASEP" (being passed separately) appropriate--if so, the message should be passed immediately (e.g., CG MCB 121356Z JAN PASEP). (The reference has no value to addressee until received.)

(3) Ensure references are effective. If not, identify month and year or other identifying information. (Only when absolutely essential to the subject matter will obsolete references be used--identify them as obsolete.)

d. Assigned Standard Subject Identification Codes (SSIC's). Assign Navy-Marine Corps SSIC to the applicable message category on the same line and immediately following the security classification and any special handling. (The SSIC will begin and end with a double slant sign; e.g., UNCLAS 7/N05230//.)

e. Assigned Precedence

(1) Administrative messages should normally be assigned a routine precedence.

(2) Reserve high precedence for messages requiring fast handling by communications personnel.

(3) Consider the use of dual precedence.

f. Draft the Text in Proper Format

(1) Strive for accuracy, brevity, and clarity.

(2) A one-paragraph message containing no more than one reference should be drafted in the short form with the subject line omitted and reference included in the text. Messages not meeting this criteria should be composed in the long form.

(3) Do not use terms SECOND INFO ADEE or FIRST ACTION ADEE in message texts. Such terms can cause confusion in event of "garbles" or call sign rearrangement.

g. Designate Reply Desired. If the message requires a reply but receipt of the reply is not required immediately, include in the message one of the following or similar expressions: "REPLY BY MAIL," "REPLY SPDLTR," OR "REPLY 15 DEC". If negative replies are neither required nor desired, use "NEGAT REPLY NOT REQ" to eliminate unnecessary messages.

ENCLOSURE (3)

27 Jan 1986

- h. Designate Local Distribution. Determine who gets copies. Do they need to know?
- i. Obtain Proper Release. Obtain authorized releasing authority's signature.
- j. Delivery. Deliver message draft to the communications center as soon as possible after release. DO NOT HOLD UNTIL NEAR THE END OF THE WORK DAY. (A routine message delivered to the communications center at 1200 will normally be delivered to the addressees before a priority message which is delivered to the communications center at 1500.)

k. Ordinarily, the majority of messages received or sent require no action beyond a 6-month period. Hence, they are filed chronologically in date-time-group sequence and destroyed when 6 months old. The exception are messages incident to distress or disaster which are maintained for 3 years; messages incident to or involved in any claims or complaint which are maintained for 2 years; messages of historical or continuing interest which are permanent; or any other official action copies of messages received or sent, which, depending upon the nature of the action required, must be retained past the 6 months period. To ensure that such messages are retained for the period required, they are filed in the action office or in the official files serving the action office as part of the appropriate general correspondence (subject) file, case file, or other record series to which the message relate. The primary purpose for segregating action messages from messages requiring no action is to facilitate disposal.

l. Action messages may be defined as those messages that generate a response or report and are therefore supported by additional correspondence; or have some definite record value, which require that they be retained beyond the 6-month period, in that they will be required to substantiate an action or referred to in the preparation of future related correspondence or reports. The volume of such messages should be moderate. Action messages should not be confused with message directives. (See the current edition of MCO P5215.1.)

### 3. Directives Management

#### a. Preparation

- (1) Designate a directive that remains in effect until superseded or otherwise canceled by the originator or higher authority as an order.
- (2) Designate a directive of one-time or brief nature with a self-canceling provision as a bulletin.
- (3) Carefully choose the subject and the appropriate SSIC from the current edition of SECNAVINST 5210.11 (Department of the Navy Standard Subject Identification Codes).
- (4) Use the standard format for directives, including the "From," and "Subj" headings.
- (5) As a general practice, list only references which are available to addressees. Specific paragraphs of technical and voluminous-type references should be cited in the text of directives to aid addressees of the type of action required and the specific information that is needed.
- (6) If a reference is held by some, but not all of the addressees of a directive, use the acronym (NOTAL) after the reference.
- (7) Indicate any report required following the references or enclosure listing, as appropriate.
- (8) State the purpose of a directive in the first paragraph.
- (9) Indicate any cancellation of an existing directive in the second paragraph.
- (10) State the self-canceling date in the last paragraph of a directive.
- (11) Title each major paragraph to draw the recipient's attention to key sections of the directive. Subparagraphs may be titled.
- (12) State clearly the purpose or use of the data being collected when a directive requires a report.
- (13) Include a "Records Disposition" paragraph when the contents of a proposed directive imposes a requirement to create and/or maintain records.
- (14) In letter-type directives the "Records Disposition" paragraph may be inserted on the promulgation page(s) or in the enclosures, etc., as appropriate. In a manual-type directive the "Records Disposition" paragraph may be inserted on the promulgation page(s) or at the end of each chapter, section, part, etc., as appropriate.
- (15) Specify the number of copies to be prepared and where each copy is to be sent when requiring a report. Include the report symbol and form number as needed information, and when and where copies of the form may be obtained.
- (16) Specify the format for the items to be reported when a report is required but no form is furnished.
- (17) Test the directive by actually completing a report or simulating action, using hypothetical data.
- (18) Identify your draft accordingly if a directive contains any classified information.
- (19) Indicate automatic, time-phased down-grading and declassification information if the directive is classified.
- (20) Keep directives current, canceling them as soon as they have served their purpose. As a minimum, review annually. Review all directives on a specific date each year; or, if preferred, review each directive on its anniversary date.

#### b. Distribution and Handling

- (1) Determine the distribution on a "need to act" and "need to know" basis.
- (2) Analyze the subject to determine all activities directly or indirectly affected by the directive, and further narrow the list to only the specific addressees affected. This should ensure the use of proper individual activity code numbers, standard distribution code(s), or list(s).

(3) Review the distribution of other directives with similar subjects to determine whether the same addressees may be affected and should be included in the distribution.

(4) If a directive cancels, changes, revises, or supplements an existing directive, ensure that all holders of the initial directive are either on distribution for the new directive or otherwise notified that the original is no longer effective.

(5) Specify the number of copies desired per addressee, unless the originator has established a standard distribution code or list.

c. Maintenance

(1) Promulgate directives for all who need to know and need to act; furnish copies only to those offices having a requirement. Maintain, in binders at a central control point, a set of all currently effective directives for which the activity is on distribution and those locally originated. Provide reference service for the activity at the central directives control point. Require that other offices maintain only those directives applicable to their mission and functions.

(2) Pay particular attention to keeping the files current, adding new directives when received or issued, and disposing of directives when canceled.

(3) Use the file locator cross-reference sheet to indicate that a directive, such as a publication, is being maintained outside the directives binder because of security or bulk.

(4) Check directives binders for completeness and currency. The Marine Corps Directives Checklist and NAVMC 2761 offers the best means for such a check.

4. Forms Management

a. A properly constituted Forms Management Program is involved in both the manual and mechanized aspects of an activity's operations. It must encompass and include in its inventory and functional file not only forms developed at the local level, but those required for use by that activity by higher authority including other Government agency forms. Forms management is one of the essential means of controlling the creation and accumulation of paperwork, eliminating nonessential forms, and ensuring that forms are not maintained after their need ceases to exist. Forms management ensures that additional forms of the right kind, are provided where none existed before.

b. A form is defined as any preprinted piece of paper containing an arrangement of blank spaces for the insertion of data by hand, typewriter, or other business machine. Forms management is a function intended to produce savings in expense and clerical effort when printing, stocking, distributing, handling, processing, and filing forms.

c. Forms and related procedures cannot be dealt with separately. A procedure defines a course of action and ensures uniformity and standardization. A form related to a procedure ensures that the course of action is followed, controls the plan of operation, and provides a detailed record of the transaction.

d. An effective form and procedure are developed through factfinding and analysis of the facts. Questioning each detail pertaining to the functions will indicate WHAT is being done, WHO is doing it, WHERE it is being done, WHEN it is being done, HOW it is being done, and, above all, WHY. Gathering the necessary facts for analysis and evaluation is simplified if a form and procedure are questioned along the lines suggested in paragraph 4f, following.

e. Careful analysis of answers to these questions will indicate whether or not the form and procedure are necessary and, if so, areas for improvement. Several possibilities for action in developing the best form and procedure are to:

(1) ELIMINATE everything not essential, whether it be an entire form and procedure or a portion of them, to prevent duplication and overlap.

(2) COMBINE similar functions, when elimination is not feasible, to reduce duplication and overlap.

(3) CHANGE THE SEQUENCE of an operation to obtain the most equitable workload.

(4) SIMPLIFY all necessary details to obtain the most efficient and effective performance.

(5) IMPROVE so as to achieve maximum results with minimum expenditures of personnel, materials, and machines.

f. When the foundation has been laid, the procedure is developed; and the form is designed to fit the procedure.

Procedures Analysis	Forms Analysis
What is the form's purpose? Is it necessary? Have the purpose and use been clearly stated? Is it worth the cost?	What data will be required to accomplish the purpose? Will all of the data be necessary? Will any additional data be necessary? Will the data duplicate that on another form or document? Can the form be combined with other forms serving a similar purpose?
Who performs each step, and why? Organizationally and occupationally are these the appropriate persons? Does each step serve a recognized purpose and produce a desired result? Have the procedural steps to be performed and the reasons for them been clearly stated?	Who requires the data? Will the data be needed by the using office? Is the data within the scope of the functions of the office? Who enters the data on the form? Are the items located and grouped in sequence of their procedural use? Is sufficient space allowed in each item for the data required?
Where is each step performed and why there? Can it be combined with similar work performed in another office?	Where will the data be obtained? Will data be transcribed from or to another document? Are items arranged to facilitate transcription? Could the form serve as a final record to eliminate transcription? Will any of the data be constant, so that it can be preprinted on the form? Where will the data be routed? Can "from" and "to" items be provided on the form to eliminate transmittal letters? Can the form be designed for mailing in a window envelope to eliminate addressing envelopes?
When is each step performed and why then? Why are the steps in that particular order? Can peakloads be leveled off by better scheduling or staffing?	When is the form filled in, interpreted, and filed? Can the number of times the data will be prepared and used during a given period be reduced?
How is the work done and why that way? Can the method be improved? Is the most efficient office equipment being used for the job?	How will the data be entered? Is spacing properly proportioned for hand, typewriter, or other machine fill-in? Are the data elements arranged so that the flow of writing is continuous from left to right and from top to bottom? How is the form filed? Are reference items placed where they can be referred to best in files or binders? Is the size of the form most appropriate for handling and filing?

5. Reports Management

a. Introduction

(1) The Reports Management Program provides for the systematic analysis and administrative control of Marine Corps reporting requirements. The goal of the program is that the reporting requirement system is used to its fullest. The program ensures that information both manual and mechanized is controlled and that reporting requirements imposed by higher authority are accomplished.

(2) The Reports Management Program is part of the centralized control function of the Paperwork Management Program. Reports imposed by Headquarters Marine Corps are managed through controlled implementation and continuous maintenance which must be coordinated Marine Corps-wide. This does not apply to exempt reports.

b. Objective

(1) All licensed information requirements, except for exempt reports shall be identified with an appropriate report control symbol which indicates reports management review and approval.

(2) The overall objective of the Reports Management Program is to see that management gets the information needed at the lowest cost.

ENCLOSURE (3)

c. When Preparing or Requiring Reports

- (1) Consider the content and use.
- (2) Check operations in terms of the end result.
- (3) Does each step contribute? Is it the best? What information is needed for which steps? Why?
- (4) Is the content what is needed?
- (5) Will different, more, less, or new information be required?
- (6) Is the report worth its cost?
- (7) Will more costly information on the other hand ensure a more effective operation?
- (8) Balance one against the other for the best mix.
- (9) How will the information be used? Where? When?
- (10) Is summary information given when needed?
- (11) Will complete details be available when necessary?

d. Eliminate When Possible Unused Report Items or Complete Reports

- (1) When no definite action is taken or decision made on them.
- (2) When the situation which originally required the information has changed or been corrected.
- (3) When the information is not pertinent to the functions or responsibilities of the office.
- (4) When the information duplicates data in other reports or records, use a copy of an existing report instead of requiring a separate one; and add items to an existing report to make it or a copy of it serve more than one source.
- (5) When the receipt or use of the same or similar reports results from duplicate operations or functions, eliminate not only the duplicate reports but also any duplicate operations or functions.

e. Get the Most Out of Source Records

- (1) Improve them to facilitate the preparation of reports.
- (2) Rely on or develop them so that they can be used to avoid preparation of a separate report.
- (3) Arrange for the basic records to be consulted instead of transcribing to a separate report.
- (4) Furnish a copy of the original record instead of transcribing when the information per document to be transcribed is voluminous and requires repetitive usage.
- (5) Combine the source document and subsequent documents into one document.
- (6) If the operation requires mechanized equipment, prepare the original record at the point of origin in machine language. "Capture" repetitive constant data for further processing without the need for recopying.

f. Make Administrative Improvements

- (1) Substitute administrative action or delegate responsibility for taking action in lieu of requiring written reports on problem areas of unsatisfactory conditions.
- (2) Assign responsibilities for report preparation so as to take advantage of the most efficient use of existing source records, collection of data, etc.
- (3) When performance of a function and a compilation of data necessary to its performance are organizationally separated, transfer either the function of performing the operation or of preparing the data to avoid reporting back and forth.

g. Use Reporting By Exception to the Fullest Extent

- (1) Establish parameters and require reports only when operation or performance is not within the prescribed range. (Also immediately highlight areas in which action needs to be taken; avoid burying them in a mass of other data.)
- (2) Report only on changes from previous report in lieu of complete information for every item; e.g., inventory reports.
- (3) Distribute to preparing activities a copy of the record maintained at the requiring level for notations of changes and return; e.g., EAM tabulated listings.
- (4) Furnish information only on items needing correction or action, instead of detailed information on all conditions; e.g., inspection reports.

h. Reduce the Number of Respondents/Recipients

- (1) Use the sampling technique in lieu of requiring complete information on all items from all possible respondents.
- (2) Reduce the number of copies of reports prepared or received. Specify the number of copies to be prepared and distributed.

i. Reduce Frequency of Preparation and Use

Could reports be required weekly instead of daily? Quarterly instead of monthly? Only on request instead of at recurring intervals with the understanding that the information will be available if necessary? Only on occurrence of a situation, event, or change in a condition? Does the directive tell when the first report is due? Reduce negative reporting except when absolutely necessary. Negative reporting creates a burden and increases paperwork. What use is made of it?

j. Ensure That the Design of the Report Form is the Most Effective for the Procedure

- (1) Are the items located for the most efficient use by the receiving or processing



offices or easily completed by the preparing offices?

(2) Are correct design and spacing provided for the most efficient manual typewriter, mechanized equipment, or other completion method.

(3) Are recurring items and data preprinted; only variable information filled in?

(4) Have the preparation and handling of separate transmittal letters been eliminated by including "From" and "To" information on the report.

(5) Has the signature line been worded to avoid the requirement for a specific official to sign unless it is absolutely necessary?

(6) Are filing and reference items positioned for most efficient use? So they can be easily seen when used in files or binders?

k. Estimating the Cost

(1) Compare the value of the report with the cost in man-hours, machine hours and related dollars for preparation and use.

(2) Costs have been separated into three categories: Developmental, operational, and user costs. Developmental costs include specification and analysis of reporting requirements, and the design and installation of reporting systems. Operational costs include data collection, data processing, and data transmission. User costs include refining, interpreting, and analyzing information received; and reading, reviewing, discussing, and documenting information presented.

(3) Consider the costs for all of the steps involved in the collection of data: maintenance of source records, preparation, review, transmission, use, temporary housing, final filing or disposition of the report, and related documents or procedures used solely in connection with the preparation or processing of the information.

NOTE: When a report is prepared in more than one copy, there is usually more than one receiving or using office. Costs should be computed by approximately the same factors as for the primary receiving or using office.

l. Get Back the Information Wanted

(1) Provide all instructions in a single directive or source as an aid to personnel in preparing the reports.

(2) State clearly the purposes or uses of the data being collected. (Helps the preparing office to ensure that the data reported will accomplish the objectives intended and to make decisions on doubtful cases.)

(3) Give clear instructions, interpretable in only one way, on each item to be reported.

(4) Require submission on a specified form whenever possible. Otherwise, specify the format for the items--ensure uniformity in data reported and simplify transcription, comparison, evaluation, or other use of the data.

(5) Specify the period of time or precise situation to be covered: the exact due date for its arrival at its destination - and first effective reporting date or period.

(6) Designate the specific respondents required.

(7) If practicable, specify the source and recommended procedures for obtaining and compiling the information to ensure comparable data and economical methods.

6. Documentation Management

a. Introduction. The Marine Corps Documentation Management Program is designed to improve the administrative processes through proper maintenance and disposition of documents; to assure preservation of needed documents; and to determine through careful evaluation which system(s) and/or equipment will achieve benefits comparable to funds available.

b. Responsibility

\* (1) The Commandant of the Marine Corps (HQSP-5) is responsible for program guidance, maintaining current retention standards and conducting all liaison activities with the Department of the Navy; the National Archives and Records Administration (NARA), the General Services Administration (GSA) and other Government agencies. In addition, the Commandant of the Marine Corps (HQSP-5) is responsible for centralized control of permanent documentation.

(2) Commands shall be responsible for establishing a continuing effective records disposition program. As a minimum, the following actions will be incorporated in local programs.

(a) Ensure that records produced by copying equipment have the same life span as bond or manifold paper. Provisions shall be made to utilize a legible manifold carbon copy if the records produced on copying equipment does not meet this criterion. All records becoming a permanent part of the official military personnel files or other officially designated files must be of archival quality.

(b) Ensure that every effort is made to reduce records volume and maintenance costs and to release space and filing equipment for better utilization.

(c) Ensure that records of continuing value are preserved and that records no longer required are promptly disposed of per the current edition of SECNAVINST 5212.5. HQMC staff agencies will use the current edition of HQO P5212.3.

(d) Conduct a biennial review of the current edition of SECNAVINST 5215.5 and submit to the CMC (HQSP-5) every 2 years (beginning 1988) by 15 February, a report of those activity records not included. HQMC staff agencies see the current edition of HQO P5212.3. Negative reports are not required.

(e) Records disposition instructions cited in something other than the current edition

ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

of SECNAVINST 5212.5 or HQO P5212.3 may be used provided the instructions correspond with those cited in the manual(s) or have been submitted to the CMC (HQSP-5) for inclusion therein. See appendix A to the enclosure, pages 21 and 22 for instructions for submitting retention standards.

c. Records Maintenance

(1) Assign personnel knowledgeable in the mission and functions of the organization to monitor the recordkeeping activities.

(2) When establishing files:

(a) Segregate the permanent records from the temporary records and arrange in appropriate files series (correspondence files, card files, case files, accounting registers, EAM listings, contract files, etc.)

(b) Identify each document in each group utilizing the current edition of SECNAVINST 5210.11 (Department of the Navy Standard Subject Identification Codes). In situations wherein the turnover in clerical personnel is constant, recommend that offices within activities require originators to place the file number on correspondence at time of preparation. However, the recipients of correspondence with preassigned file numbers are not required to use the file number located on incoming correspondence as a guide to filing correspondence. Preassigned file numbers on correspondence should be used only when they conform to the recipient's files outline. The file number is marked in the upper right hand corner of the document.

\* (c) Once each group (temporary and permanent) has been properly identified per the current edition of SECNAVINST 5210.11, make 13 general folders (1000-13000) representing the 13 major numerical groups outlined in the current edition of SECNAVINST 5210.11. File all papers having the identification "1000-1999" inclusive within the folder entitled "1000-1999 MILITARY PERSONNEL (GENERAL);" separate the permanent and temporary records within each folder, and arrange each category in numerical sequence according to the SSIC assigned. When at least 10 pieces of paper, with the same SSIC, in a category accumulate, prepare a folder for that category. This procedure will work for the majority of offices creating correspondence. The exception would be in offices where the daily volume of correspondence on specific subjects are so high that individual, as opposed to general folders must be established initially. A sample of the file folder identification is shown in appendix A to this enclosure, page 23. Insert papers in the folder latest date forward.

(d) The opening date is posted when a folder is established; the closing date is posted at the end of the calendar or fiscal year in which all actions within a file are completed or when a file folder reaches its 3/4-inch capacity.

(e) When deviating from the exact title for a specific SSIC listed in the current edition of SECNAVINST 5210.11, the SSIC must be followed by a slash (/), followed by an arabic number, followed by the arbitrary title:

Example

5230 ADP AND INFORMATION SYSTEMS  
5230/1 ALPS

(f) The subject, as well as the contents, should be taken into consideration when selecting a file number for correspondence.

(3) Prepare a files outline (see appendix A to this enclosure, page 23) and maintain it in an accessible place for the convenience of all users of the files, preferably with the current edition of SECNAVINST 5210.11, in a file folder preceding the files it describes. The practice of entering the retention standards opposite the file numbers on the files outline is timesaving, assists in final disposition, and serves as a training aid for new personnel. The files outline should be updated as changes occur.

(4) Nonrecord material is a designation of materials that are not included within the legal definition of the word records. A definition of nonrecord material may be found in the current edition of SECNAVINST 5212.5, appendix F and paragraph 1004 of HQO P5212.3; however, nonrecord material, when maintained in records equipment, will be maintained per the instructions outlined in paragraph 6c(2) above. Examples of nonrecord material are:

(a) Rough drafts, notes, and similar material.  
(b) Extra copies, unless needed for cross-referencing.  
(c) Copies received for informational purposes only.  
(d) Correspondence and other records of transitory value which, after action has been completed, have neither evidential nor informational value. This type of material should not be filed, but should be confined to the waste basket or burn bag, as appropriate.

(5) Avoid making unnecessary and useless papers such as working papers, extra copies, preliminary drafts and informational material a part of the official files.

(6) Avoid making unrequested courtesy copies, information copies that are of little value to the reader, unneeded convenience copies for those with ready access to the official files as well as personal copies which are prepared by the typist at the author's request.

(7) Routing sheets should not be filed with the permanent record unless they contain comments or information important to documentation.

(8) Request removal from distribution lists of all material received for which the office or activity has no requirement.

(9) Prepare an official manifold file copy when originating correspondence that may become the subject of future correspondence of reference. This copy will be maintained in the official file.

(10) Official files should contain the basic incoming document and enclosures, if any,

and the official file copy of outgoing correspondence, together with any essential supporting documents.

(11) The official files of an office should be located in close proximity to the users so as to discourage the creation of duplicate files by those with ready access to the official files. Duplicate files only serve to "split" the official files, causing incomplete documentation and waste of space, equipment, supplies, and personnel.

(12) Prepare "charge out" cards when documents are removed from the files, including card files and library reference books.

(13) Close correspondence files on an annual (calendar or fiscal) year basis depending on the functional area. Offices may establish their financial records on a calendar year basis provided they are not the office of record for the fiscal functions of their activity and their financial records are small in volume and are general in nature. Close case files at the end of the calendar or fiscal year in which the case is completed.

(14) Loose filing is the preferred method of filing general correspondence in file folders. The use of ACCO or other prong fasteners to secure papers in a file folder is accepted for certain applications. Examples are contract, case or project files, or files containing civilian or military records, which because of their nature, require constant handling and are frequently removed from the office of record.

(15) Determination as to whether records are of permanent or temporary value is made prior to filing. The letters "P" or "T" should be written on the document along with the file number, prior to filing.

(16) File records of permanent value separate from records of temporary value. The file folder containing permanent record material should be placed in front of the related folder containing temporary material. When utilizing one folder for both categories, separate them by use of a divider, this provides for systematic disposition without review at the time of transfer or destruction.

(17) All temporary and permanent records must be included in current records disposition instructions. Temporary records are those records disposable after a fixed period of time or after an event, as specified in current records disposition instructions. Permanent records are those records that are sufficiently valuable for research or other purposes to warrant permanent preservation.

d. Records Disposition

(1) The current editions of SECNAVINST 5212.5 (Disposal of Navy and Marine Corps Records), and HQO P5212.3, Headquarters Records Disposal Manual provide the regulations, retention standards, and instructions for administering an effective documentation disposition program. As such, each manual establishes guidelines for the systematic disposition of records either by preservation or destruction.

(2) The Marine Corps Documentation Disposition Program is designed to:

(a) Preserve records that reflect the organization, functions, policies, decisions, procedures, and essential transactions of the Marine Corps.

(b) Preserve records that protect the legal and financial rights of the Government and of persons directly affected by Marine Corps action.

(c) Affect prompt and systematic disposal of temporary and nonessential records.

(d) Establish a system of supervision to ensure prompt disposition of noncurrent records through transfer to records centers, destruction, or other authorized disposition.

(e) Establish safeguards against illegal removal, loss, or destruction of records.

(3) Records custodians shall ensure compliance with the following:

(a) Ensure that the applicable retention standards in the current edition of SECNAVINST 5212.5 or HQO P5212.3, as appropriate, are selected for each file series. A "series" of records is a block of records having the same disposal authority and disposal date. Labels showing the appropriate retention standard shall be posted on the filing cabinet, drawer, or file guide, as appropriate, or to each file folder when the retention period within a file series varies. The disposal label will cite the date of disposal action and the appropriate action to be taken. (See appendix A to this enclosure, page 23.)

(b) Ensure that eligible disposal actions are taken systematically by promptly destroying or transferring records to Federal records centers in order to effect the recovery of equipment, office space, and personnel resources. (If records are referred to less than once per file drawer per month, they are eligible for transfer, provided they have a retention period of 3 years remaining.)

(c) Ensure that last year's files are destroyed, retired, or moved to lower drawers if records are not yet eligible for destruction or transfer to the records center.

(d) Ensure that file drawers are properly labeled to include the type of file, inclusive file numbers, and calendar or fiscal years contained therein.

(e) Ensure that all permanent and temporary records are transferred regularly. Records of permanent value (other than inactive civilian and military personnel records) will be forwarded to the Washington National Records Center, 4205 Suitland Road, Suitland, MD 20409. Transfer all inactive civilian and military records and all temporary records with retention period of at least 3 years remaining to the appropriate records center listed in appendix A to this enclosure, pages 25 and 26.

(f) Ensure that upon decommissioning or during March of each year, the previous year's Master Flight Files are transferred to the Washington National Records Center, 4205 Suitland Road, Suitland, MD 20409. NOTE: Seven years is the current retention period for Master Flight Files. Aircraft logs and other records of aircrafts stricken or involved in accidents must be retained for 20 years. Refer to SECNAVINST 5212.5C, paragraph 13090.1d.

ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

\* (g) Ensure that all records relating to Indians and all asbestos and other insulation-related records to include all originals and nonidentical copies are retained until further notice. Refer to the current edition of SECNAVINST 5212.10. The recording of asbestos or other insulation related records on microfilm or microfiche does not relieve the activity from the requirement to retain all original documents.

\* (h) Ensure that, regardless of current disposal instructions, records relating to matters listed below will not be destroyed until final clearance or settlement of case.

- 1 An outstanding exception by the General Accounting Office.
- 2 An outstanding claim for or against the United States or the Marine Corps.
- 3 A case under litigation.
- 4 An incomplete investigation.

NOTE: GAO approval is no longer required for the disposal of site audit records, that is original copies of accountable officer files retained in office space. These records may be destroyed 6 years and 3 months after period covered by the account. The exception would be any records involved in pending claims or other litigation - will not be destroyed until the litigation is resolved.

(i) Ensure that records of historical value are preserved per the current edition of MCO P5750.1.

(j) Conduct an annual year-end disposal, at which time all files are checked and records properly disposed.

(k) Make checks periodically to ensure that disposal instructions are being followed; i.e., a retention standard is determined for each file, disposal instructions posted, destruction, transfer, and other disposal actions are taken regularly and promptly.

(l) Use Standard Form 135, and 135A, when required, to transfer all records to Federal records centers.

(m) Ensure the full and proper use of filing cabinets, security cabinets, shelf files, and other filing equipment. Drawers should be filled about 3/4 full, both to avoid waste and permit convenient filing and searching. Consolidate the contents of cabinets and safes less than half full.

(n) Establish the habit of determining retention periods for periodicals, circulars, or other material received for general information.

(o) Ensure that no Federal records are destroyed or removed without proper authority. Removal or destruction of Federal records should occur only with authorization of current records disposition instructions.

(p) Maintain personal papers separate from official records. Official records include materials made or received either in pursuance of Federal law or in connection with the transaction of Marine Corps business. Personal papers cover material pertaining solely to an individual's private affairs. Correspondence designated "personal," "confidential," or "private," but relevant to the conduct of Marine Corps business, is an official record subject to the provisions of Federal law and pertinent disposition instructions.

(q) Ensure that cartons used for transferring records to Federal records centers are not half empty. Allow approximately one-half inch of space in each box to permit easy withdrawal of individual folders for reference purposes unless interfiles are expected in the future.

(r) Prior to transferring records to Federal records centers, check to ensure that reference material and duplicate copies are not included in the records to be transferred.

(s) Do not transfer records to Federal records centers if the records will not remain in the center 3 years or more before their scheduled disposition.

(t) Refer to appendix A to this enclosure, pages 27 through 29 for a filled-in sample of the revised edition of SF 135. It provides for transferring more than one series of records on a form, provided a separate accession number is assigned to each series of records listed. Marine Corps activities will ensure that the following instructions and those listed in appendix A to this enclosure, page 28, are adhered to when transferring records to Federal records centers.

1 Prepare an original and three copies of the revised SF 135 for each shipment of records transferred.

2 Include a complete description of each series of records listed.

3 Assign an accession number to each records series listed. (Accession numbers for records transferred to the Washington National Records Center, Washington, DC, are obtained from the Commandant of the Marine Corps (HQSP-5). Accession numbers for the transfer of records to other Federal records centers must be obtained from centers on a prearranged basis.)

4 Cite the applicable disposal authority in the current edition of SECNAVINST 5212.5 for each series of records listed; appendix A, to this enclosure, pages 21 and 22, is the format for submitting unscheduled records for inclusion. (Unscheduled records not listed in current disposal instructions will not be accepted by records centers. Nor will records centers accept records citing "indefinite" as the disposal authority.)

\* 5 Forward the original and two copies of SF 135 to the Washington National Records Center or the records center serving the area, as appropriate. If the transfer is approved, the records center will return two copies of the SF 135 to you. Insert one copy in carton #1 of each accession and ship records to the records center. When the SF 135 has been approved and the records accepted for storage, a location number will be assigned to the records by the center. Records must be transferred within 30 days after receipt of the approved copy of the SF 135 from the records center. (See appendix A to this enclosure, pages 25 and 26, for a list of Federal records centers.) A copy of SF 135  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

must be provided to the Commandant of the Marine Corps (HQSP-5) for all permanent and temporary records transferred to records centers to include the transfer of flight records and records of deactivated units.

(u) Federal records center approved boxes will be used for transferring records to Federal records centers. The boxes (NSN 8115-00-117-8344 or NSN 8115-00-117-8248) may be obtained through the FEDSTRIP requisitioning system. Prior to shipment, mark with BLACK FELT MARKER, the assigned accession number in the upper left and the box number in the upper right corners of the front end (12" side) of each box. Center the activity's address, and enter type(s) and date(s) of records in the box below the accession number. Contents should be identified on front end of box only. See appendix A to this enclosure, page 30.

(v) Do not transfer records to Federal records centers in side tab folders exceeding the following dimensions--letter size 9 1/2" X 12", legal size 9 1/2" X 14 3/4". Folders exceeding these dimensions are not compatible with records centers containers.

(w) Activities using their own transportation to transfer large quantities of records should telephone the records center 24 hours before delivery. Activities using commercial carrier should instruct the carrier's dispatcher to telephone the Accession and Disposal Branch 24 hours before delivery. Records centers should be notified in writing 2 weeks before the planned shipment of accessions of more than 500 cubic feet.

(x) Copies of SF 135 and SF 135A may be obtained by submitting requisitions in FEDSTRIP/MILSTRIP format to the GSA regional office providing support to the activity. The NSN for SF 135 is NSN 7540-00-634-4093; the NSN for SF 135A is NSN 7540-00-823-7952.

(y) When transferring security classified records, do not list Top Secret on the same transmittal form with Secret and Confidential records. Do not list unclassified records on the same transmittal form with classified documents. Ensure security classified documents are reviewed per section 4 of the current edition of OPNAVINST 5510.1 prior to transfer.

(z) Request authorization from the Commandant of the Marine Corps (HQSP-5) for:

1 Requests for permanent withdrawal of records from records centers. These requests must describe the records, give date(s) of records, name of originating activity and justification for withdrawal.

2 The permanent transfer of records between activities, including Headquarters Marine Corps, unless authority is specified in the retention standards of the current edition of SECNAVINST 5212.5 or HQO P5212.3, as appropriate, or stated in the deactivation/redesignation order. Documentation received from another activity will be maintained in its original filing arrangement; additions will be maintained per the procedures of the acquiring activity.

3 The destruction of permanent records located in the National Archives and records centers and for the destruction of temporary records of deactivated units. Activities will continue to authorize the destruction of temporary records transferred from their custody to records centers.

e. Public Access to Records. Custodians of Marine Corps records should be familiar with the contents of and have at their disposal a copy of the current edition of SECNAVINST 5720.42 (Availability to the Public of the Navy Information and Records.)

f. Records Equipment and Supplies

(1) Records Equipment

(a) Use letter-size filing cabinets instead of legal-size filing cabinets. Legal-size filing cabinets and supplies cost 5 to 10 percent more than letter-size. Legal-size filing cabinets require 20 percent more floor space than letter-size cabinets. Further, the Judicial Conference of the United States adopted letter-size (8 1/2 x 11") paper as standard use throughout the Federal judiciary, and directed that legal-size paper no longer be used after 1 January 1983. Consequently, GSA requested Federal agencies take certain actions to eliminate the use of legal-size paper and related equipment. Accordingly, effective immediately Marine Corps activities shall:

1 Plan for an orderly transition from legal-size (8 1/2 x 14 inches) to standard letter-size (8 1/2 x 11 inches) when all existing stocks of legal-size stationary, pads, carbon sets, file folders, etc., have been exhausted.

2 Purchase no additional legal-size file folders, vertical filing cabinets, or open shelving. Lateral filing equipment and security containers/safes are exempt from these restrictions. If additional legal-size equipment is needed to expand existing filing systems, obtain the equipment from agency excess equipment or from excess inventories maintained by the regional utilization and disposal branches of the Office of Personal Property, GSA.

3 Convert, through normal attrition of equipment, all existing legal-size information storage and retrieval systems to standard letter-size. Do not develop any legal systems.

(b) Use open shelf (lateral) filing equipment and five-drawer filing cabinets instead of two-drawer filing cabinets--can realize more record space in the same amount of floor space.

(c) File classified material in separate file containers from unclassified material, except when the record of action or transaction consists of both classified and unclassified material and it is essential for reference purposes that both be filed together.

(d) To ensure that activities are applying prescribed documentation management techniques and that proposed systems/equipments selected are suitable for the application(s) intended, the following prerequisite actions are required prior to requisitioning filing equipment.

1 Destroy all records authorized for destruction per the current edition of SECNAVINST 5212.5 and all nonrecord material no longer required. Headquarters staff agencies use the current edition of HQO P5212.3.

2 Transfer to records center storage all permanent and temporary records not needed for current use.

3 Reduce the volume of classified records by destruction or by downgrading, declassification, or retirement of those records not eligible for destruction. Eliminating unneeded classified records reduces accountability, workload, and minimizes the need for high cost replacement equipment.

4 Eliminate the filing of unnecessary informational material. This material has little or no retention value and should be destroyed directly after serving its immediate purpose.

5 Remove office supplies, blank forms, publications, and miscellaneous gear from filing cabinets to open shelf filing equipment, warehouse-type shelving, storage cabinets, or similar equipment.

6 Use five-drawer filing cabinets in lieu of two-drawer filing cabinets; two-drawer cabinets are considered uneconomical use of equipment. Use letter-size filing cabinets. Refer to paragraph 6f(1)(a) above.

7 When feasible use more economical filing equipment; i.e., open shelf filing equipment.

NOTE: There is attractive open shelf filing equipment on GSA Schedule with doors and locks. This equipment is capable of housing records in two identical banks of tiers back-to-back. Each unit is bolted to the floor and mounted on a rotary base. The base is activated by a foot pedal to rotate tiers 90 to 180 degrees in either direction for dual access to either of two banks.

The equipment is available in up to eight-tiers high and units are usually purchased "empty." Rollout drawers and/or standard adjustable shelves are purchased, as required. Depending upon the configuration desired, a unit may be arranged to house a combination of correspondence files, card files, binders, tapes, reference material, etc.

The system always begins with purchasing a basic "starter" unit and using it as a single unit standing alone, or with any number of additional "adder" units attached thereto. Adder units cannot stand alone; they must be attached to a "starter" unit.

A seven-tier unit, when filled to capacity with correspondence files, has a capacity to store approximately 308 filing inches--the equivalent of approximately 13 file drawers. However caution is advised when choosing such a configuration. The top two and/or three shelves of seven- and eight-tier units are beyond the reach of most clerical personnel without the use of a ladder or stool. Accordingly, recommend correspondence files not extend beyond 5-shelves high (10 shelves per unit)--the equivalent of 9 file cabinet drawers. The top two or three shelves could be used for binders, books, or other less frequently used material.

This equipment is most beneficial when placed in an area where several units can be placed together as opposed to single units located in several locations. Units serve well as office dividers granting access to two or more offices while serving as a partition, thus eliminating the need for a wall. Units also serve well placed against walls provided 6 inches is left between unit and wall to allow for revolving.

(e) Commanders throughout the supporting establishment will ensure compliance with the prerequisite actions outlined in paragraph 6(f)(1)(d) above and the documentation management techniques outlined in this Order when requisitioning filing equipment.

\* (f) Commanding generals and commanding officers are authorized to review and approve or deny requests for filing equipment requests from persons under their respective authority provided the funds are available, the prerequisite actions listed above are observed and all contracting regulations are adhered to. The Commandant of the Marine Corps (HQSP-5) will review and recommend approval/disapproval for all requests included in the annual budget to the DC/S for Installations and Logistics.

(2) Records Supplies: The following standard supplies are prescribed for maintaining record material:

(a) File Folders

1 The following file folders will be used:

a Kraft Folders, Heavy Weight, 230-lb (18-Point), Square Cut Without Fastener (NSN 7530-00-222-3443 and 7530-00-222-3444). These folders are for correspondence files or for records receiving abnormally rough or extensive use for a period longer than 5 years.

b Kraft Folders Heavy Weight, 230-lb (18-Point), Square Cut With 2 1/2-inch Prong Fastener (NSN's 7530-00-926-8978 and 7530-00-926-8980). These folders are prescribed for case files requiring that records be fastened.

c Kraft Folders, Medium Weight 147-lb (11-Point), Square Cut, Reinforced Self Tab (NSN's 7530-00-663-1031 and 7530-00-200-4308). These folders are for general purpose use, records having retention periods less than 5 years, or for infrequently used records.

d Manila Folders, Light-Weight, 133-lb (9-5 Point), Square Cut, Self Tab (NSN's 7530-00-291-0098 and 7530-00-285-1732). These folders are for records of very little volume or use and for temporary case files.

NOTE: Although the NSN's for legal-size folders have been included, compliance with paragraph 6(f) of this enclosure is required.

2 Justify requests for more expensive file folders, such as pressboard folders, hanging folders, folders preassembled in sets, and for special folders with built-in dividers, metal tabs, gussets, celluloid tabs, etc.

3 Reuse serviceable folders when files are destroyed.

(b) File Folder Labels

1 Subject Identification Labels--Pressure-Sensitive File Folder Label, 3 1/2 x 5/8 Inch White or White With Color Strip (NSN's 7530-00-577-4368 through 4376). The color strip labels may be used as an index to the subject identification codes. Three typewritten lines will fit on these labels, and they require no water to apply. The labels will be placed on the left corner of the folder tab to provide uniformity in arrangement.

2 Records Retention Standards Label-Gummed Folder Labels in Perforated Fanfold Strips, 3 3/4 x 1 1/8 Inch, White and Buff. Colors (NSN 7530-00-223-6607 for Buff and NSN 7530-00-223-6611 for White). The buff colored label will be used for records of permanent value; white labels will be used for records of temporary value. These labels will be placed on the right side of the folder tab. The center space of the folder tab will be utilized for the opening and closing dates of the records.

3 General Information. If the prescribed pressure-sensitive labels are not available, commands may use any available labels or a "stamp" to identify file folders so long as the format utilized is comparable to that shown in appendix A to this enclosure, page 23.

(c) Boxes, Folders, and Envelopes. The following standard boxes, folders, and envelopes will be used for transferring microform military personnel records to the National Personnel Records Center (NPRC):

- 1 Box, Corrugated Fiberboard, Special Purpose, (Records Retiring) (NSN 8115-01-025-3254).
- 2 Folder, File (NSN 7530-01-021-3249)
- 3 Envelope, Microfiche (NSN 7530-01-021-3302)

These supplies are available by requisition from the Federal Supply System. Allow from 60 to 70 days for delivery.

(3) Documentation Storage and Retrieval System(s)/Equipment and Mechanized Equipment

(a) A documentation storage and retrieval system is any system that has the capability to store, index, select, and retrieve documents. Such systems may use the conventional manual method of filing and researching; or they may use combinations of manual, mechanized; electronic, photographic, video, and similar techniques for miniaturization, storage, indexing selecting, and retrieving document(s) records.

(b) Submit requests for documentation storage and retrieval systems (less ADP systems) and changes thereto, to the Commandant of the Marine Corps (HQSP-5) for approval.

(c) Ensure that information contained in the documentation storage and retrieval system is complete and accurate and that techniques and equipment proposed are practical and economical.

(d) Compare the inclusive costs of the present system with the inclusive costs, including conversion, of the proposed system.

(e) Practice economical utilization of storage and other equipment, returning all excess equipment to stock. Ensure that official files are not maintained in desk drawers.

(4) Requests for Documentation Storage and Retrieval System/Equipment and Mechanized Equipment. These requests shall include in their justifications the following information:

(a) A description of the present system, to include the title of the records series; total volume of records.

(b) The appropriate retention standard applying to the records, as contained in the current edition of SECNAVINST 5212.5, Disposal of Navy and Marine Corps Records. Headquarters staff agencies utilize the current edition of HQO 5212.3.

(c) Inclusive dates, security classification, size of records, volume, rate of accumulation (daily, weekly, monthly, etc.) and indicate frequency of reference (daily, weekly, monthly, etc.).

(d) Present filing arrangement and related indexes. Is the file a cross-index reference file?

(e) Description of the filing arrangement for the same records when located in proposed equipment.

(f) Full explanation of the basic file operations, such as filing, posting, searching, indexing, or other action, and total man-hours required to conduct operation(s) daily.

(g) Present number of personnel required to service the records and number of personnel required to service records when located in proposed filing equipment; include the number of man-hours daily.

(h) If information is extracted from records, include a description of the use made of such information.

(i) A description of the present equipment to include type, size, number of filing units, filing cabinets, etc., condition, cost, maximum capacity, floor space required, model number, and purchase date.

(j) Proposed Equipment

1 Describe proposed equipment to include accessories or optional parts; model number and GSA contract number and expiration date, if applicable.

2 Total man-hours required daily for the operation.

3 Installation cost; 1 year maintenance contract cost.

4 Using a 1/4 inch-scale drawing, show the floor plan, overhead obstacles, and location of files equipment and desks of personnel using these files.

5 Will the use of the requested mechanized equipment result in monetary savings in such amounts that the initial price, plus installation and maintenance, will be amortized in 3 years? If yes, explain.

NOTE: Convenience, elimination, or reduction of physical strain, morale, appearance, and similar advantages do not constitute a firm justification for mechanized equipment.

Mechanized equipment may be practical if production can be increased (depending upon the degree), backlogs or overtime eliminated, or personnel billets dropped. Space savings are usually too minor to be of value or are unrealistic because of arrangement problems. This equipment cannot be easily moved or rearranged.

The major advantages of mechanized filing equipment is that the servicing clerk can retrieve information from a large volume of

records without excessive loss of motion. There is little advantage in paying the high cost of mechanization when clerks must walk to and from their desks to consult the file numerous times daily and wait their turn to make a search.

Access to records filed in mechanized equipment is limited to only one person at any one time; this could result in backlogs.

The volume of records filed in mechanized equipment should be "static." Mechanized equipment is not recommended for files that are known to increase in volume; expansion requires purchasing a new unit long before there is volume sufficient to fill a unit.

The high cost of tearing down, packing and moving practically prohibits relocating mechanized equipment.

#### g. Security

(1) Know your security rules and classification definitions. Don't over-classify.

(2) Include specific downgrading or declassification instructions as the last line of each classified message. Always use the date or passage of events to key downgrading or declassification action. Only rare cases will require use of the downgrading groups that exclude or exempt material from downgrading.

(3) A special effort will be made to reduce the number of security containers used for maintaining classified material. Offices in close proximity to one another will give consideration to sharing security containers, provided the responsibility for proper safeguarding of the classified information involved is clearly delineated and maintained and that the "need to know" principle is strictly enforced. Security containers will not be used for unclassified papers - EXCEPT when:

(a) The records of an action consists of both classified and unclassified documents and it is essential for reference purposes that both be kept together.

(b) A small volume of classified material is on hand and it is advantageous to use otherwise empty drawers for unclassified material; however, unclassified material should be filed separately from classified material.

(c) Maintaining accountable items for which security regulations specifically requires storing in security containers.

NOTE: Headquarters staff agencies shall request security containers per the current edition of HQO P5510.2.

#### 7. Microform Management

a. The potential application and advantages to be derived from microform are limited only by the imagination and creativeness of the system designer. Microforms provide the commander with another building block to achieve an optimum design in an information system, as they can be the information system carriers or storage media of the system. For microform systems to be effective, they must provide timely, accurate, and useful information at the lowest possible cost both during implementation and continued operation.

b. The overriding factor in all decisions concerned with the design of microform systems is that the system be user oriented.

c. Approved microform formats, microform equipment standards, and guidelines for microform systems studies are contained in the current edition of MCO 5210.13. Microform systems for permanent or nonpermanent records must be consistent with the provisions of this Order and the current edition of MCO 5210.13, and will be requested per the microform system request format in enclosure (5) of the current edition of MCO 5210.13.

\* d. Federal records centers offer to wide range of reimbursable micrographic service to Government agencies. Appendix A to this enclosure, pages 32 and 33, contains the approximate charges for these services. This schedule is not all inclusive. Preparation time fees, which may include removing staples, unfolding documents, and repairing documents, are not included. Also fees for indexing and arranging documents prior to filming are not included. Costs are determined according to needed requirements.

e. Further information concerning availability of services may be obtained from any Federal records center listed in appendix A to this enclosure, pages 25 and 26.

#### 8. Office Equipment Management

a. The objective of the Marine Corps Office Equipment Program is to ensure that efficiency and economy are exercised in the utilization of existing equipment and in the selection of new or additional equipment. To achieve this objective, the program has been developed as an aid to management in performing the following functions:

(1) Evaluating the effectiveness and efficiency of existing office equipment.

(2) Determining the correct adoption of existing equipment to operations.

(3) Preventing excessive maintenance and breakdown through timely replacement of obsolete or aged equipment.

(4) Screening requirements for new and additional equipment, to ensure selection of proper equipment when it is determined that equipment actually is needed to accomplish the operation in question.

(5) Maintaining maximum utilization of equipment.

(6) Keeping abreast of the development of new types of equipment and applications.

b. For purposes of this Order, equipment is defined as any mechanical, photographic, electrical or electronic device which serves in a creative, transmitting, processing, storage, copying or labor-saving capacity at any stage in a records process or system. Excluded from this definition are office furniture and furnishings, certain filing equipment and EDP/ADP equipment.

c. The Commandant of the Marine Corps is responsible for the development and promulgation of program guidance to field activities and the collection, compilation, and submission of certain reports to higher authority.



d. Commands shall be responsible for establishing appropriate practices and procedures for the administration of local office equipment management programs. As a minimum, commanders shall ensure that:

(1) Responsibility is assigned to a representative to coordinate the program throughout the activity.

(2) Appropriate records of equipment are maintained concerning utilization, application to job requirements, location, age and physical condition, and replacement and maintenance standards, using existing plant property records insofar as practicable.

(3) Technical assistance is provided operating personnel in analyzing operations affected by office equipment.

(4) Appropriate training programs are conducted to ensure full utilization of labor-saving equipment.

(5) An adequate review is made of requests for office equipment.

(6) Disposition procedures exist for office equipment whose condition is beyond economical repair.

(7) Information requirements (e.g., equipment inventories, utilization data, etc.) requested by the Commandant of the Marine Corps or other competent authority are submitted in a timely fashion and are complete and accurate.

e. Supplementary detailed program guidance for specific types of office equipment (e.g., microform, word processing, copy making, and certain filing equipment) has been published. Refer to the "Bibliography of Records Management Program References" in enclosure (1).

## 9. Word Processing Management

a. The Federal Records Act is applicable to Federal records regardless of form. Hence, records created using word processing equipment and/or personal computers are included. The Federal Records Act defines records (44 U.S.C. 3301) as:

"all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal Law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included."

This definition prescribes that Federal documentation, specifically including machine readable materials, are subject to the archival, records management, and records disposal provisions of the Act (44 U.S.C. chapters 21, 29, and 33) as codified in 36 CFR Ch V (7-1-85 edition).

b. Word processing is the manipulation of textual material through the use of a keyboarding device capable of controlled storage, retrieval and automated typing. Equipment used in word processing applications may include but is not limited to the following:

- (1) Dictation recording and transcription equipment;
- (2) Automatic repetitive typewriters;
- (3) Stand-alone text-editing typewriters;
- (4) Stand-alone video-display text-editing typewriters;
- (5) Shared-logic systems comprised of keyboard terminals, video-display units, mini-computers, associated printing devices used primarily for word processing; and
- (6) Keyboard terminals and associated printing devices (dedicated primarily to word processing) used to access Government or commercial computer services.

c. The objectives of the Marine Corps Word Processing Program are to:

(1) Ensure that activities make or arrange for appropriate studies and cost analysis, so that sufficient data are available to management to allow intelligent decisions regarding:

(a) Economic feasibility.

(b) Equipment requirements, in terms of both volume and types of work to be accomplished.

(c) Personnel requirements.

(d) Alternate word processing systems from which an activity can select one most suitable to its needs.

(2) Increase productivity.

(3) Provide guidance and assistance to Marine Corps managers in achieving the most effective planning for word processing and administrative support units in terms of time, cost, and efficiency.

(4) Ensure that the design, development, installation, operation, and maintenance of word processing systems are planned and implemented efficiently and effectively to satisfy the word processing requirements of management.

(5) Ensure maximum efficient use of word processing in the Marine Corps.

(6) Guard against unwarranted or otherwise indiscriminate development or acquisition of word processing systems and equipment.

(7) Provide for the exchange and dissemination of information gained from the planning and implementation of word processing systems throughout the Marine Corps.

d. The Commandant of the Marine Corps is responsible for the development and promulgation of program guidance to field activities and the collection, compilation, and submission of certain reports to higher authority.

ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

e. Commands shall be responsible for establishing appropriate practices and procedures for the administration of local word processing management programs by ensuring that:

(1) Appropriate internal controls are instituted to prevent the loss or alienation of official records created in electronic form to include those created using word processing equipment and personal computers.

(2) Word processing/personal computer storage media are utilized to the fullest; storage media (diskettes, etc.) containing official record material, for which official copies are maintained, are checked weekly/monthly and erased for reuse.

(3) Word processing and/or personal computer storage media (diskettes, etc.) are not used to store official copies of permanent valuable material unless the official record copies are preserved in paper form.

(4) Word processing/personal computer storage media (diskettes, etc.), when used to store temporary records having a lifetime of 1 year or more, are checked and duplicated onto new storage media at least once a year to ensure no loss or alienation of official records.

#### 10. Copy Management

a. The Marine Corps Copy Management Program has been established to assist Marine Corps activities in controlling copy making costs. For purposes of the program, a "copy" is a duplicate of a document previously created and a "copier" is a machine that produces copies directly, without requiring the creation of an intermediate master.

b. The Commandant of the Marine Corps is responsible for the development and promulgation of copy management guidance to field activities and the collection, compilation, and submission of certain copy management reports to higher authority.

c. Commands shall be responsible for establishing and maintaining a local copy management program. Such programs shall promote: (1) efficient and effective copying practices; (2) a systems approach to the management of copying equipment and services; and (3) line manager responsibility for copying activities.

d. The current edition of MCO P5600.31 contains program guidance and details for the submission of requests for authorization to acquire copy making equipment.

#### 11. Vital Records

a. The Marine Corps Vital Records Program is hereby established in compliance with SECNAVINST 5210.15. Its primary purpose is to protect those records necessary to ensure the continuity of essential Marine Corps business during and following a national emergency, such as an enemy attack upon the United States.

b. The objective of the Marine Corps Vital Records Program is to ensure that records identified as essential to the conduct of emergency functions and those that preserve the rights and interest of Marine Corps personnel are current, complete, adequately protected, accessible, and usable.

c. Heads of Headquarters staff agencies and field commanders shall:

(1) Examine their mission-oriented functions, emergency-oriented functions, and emergency plan of operation to identify their vital records, selecting only those records needed during an emergency.

(2) Select an accessible storage facility away from high-risk areas, such as near coasts, rivers, geological vaults and volcanoes; or areas where neighboring buildings pose a menace.

(3) Ensure that the storage facility selected has adequate fire prevention procedures and protection features. Facilities should meet the standards of the National Fire Protection Association for protecting records.

(4) Ensure that potential hazards such as water due to flooding, or high humidity does not exist in the facility selected.

(5) Ensure that designated storage facility(ies) are provided statements of emergency mission, delegation of authority, predrafted emergency issuances, and a list of key personnel.

(6) Designate an individual to manage and monitor the command's vital records program, whose responsibilities shall be to:

(a) Prepare and maintain a current inventory of the vital records identified. A complete description of the records, instructions for labeling and numbering the packages/boxes, as well as instructions for retaining, replacing, and destroying the records should be included in the inventory. Whether the records to be replaced are to be destroyed onsite or returned to the collecting point for destruction should also be included.

(b) Ensure that those records identified as vital are duplicated, collected, and deposited, on a regular basis, in the designated alternate site. Whenever practicable, prepare duplicates simultaneously with other records in regular day-to-day operations. Office copiers, microfilm and automatic data processing may be used to prepare duplicate copies for alternate site(s).

(c) Ensure that vital records transferred are properly arranged and indexed to facilitate retrieval. Identify records by organizational unit ensuring that all records in a given file are disposable at the same time.

(d) Ensure that containers used for transferring records are properly labeled.

(e) Ensure that vital records transferred are kept current by prompt replacement and disposal of superseded copies (provided they are not the official files requiring longer retention).

(f) Transfer rights and interests records separate from emergency operating records. (Note: Rights and interest records may be transferred to Federal records centers.)

(g) Ensure that machine readable records transferred are accompanied by textual documentation/software and equipment needed to provide access to the information.

\*12. Electronic Recordkeeping

a. The fact that information is created or stored electronically has no bearing upon whether that information is record or nonrecord. Record status is determined by the same criteria for all information, regardless of the medium in which it is created or stored. Refer to paragraph 9 of this enclosure for the definition of records. Electronic recordkeeping may be defined as the operation of recordkeeping systems that require machine interface in order to use the records. Examples are magnetic tape, disks and drums, video film, and optical disks.

b. As with paper records, electronic records can only be destroyed according to current records disposition instructions. Records stored electronically are destroyed by erasure or by using a program that will completely overwrite the data to be destroyed. Only by these methods can protection against unauthorized access to record information, which has been approved for destruction, be assured.

c. Following are guidelines on how to manage records created, stored, or transmitted using personal computers or other electronic office equipment including word processors.

(1) Ensure that records created, stored, or transmitted using personal computers or other office equipment are maintained and disposed of per current records disposition instructions. When planning a new system, or a major revision of an existing system, include provisions for the disposition instructions to the CMC (HQSP-5) for inclusion in current records disposition instructions.

(2) Institute procedures to prevent unauthorized access to, loss, removal, or theft of, official records created or acquired in electronic form.

(3) Standardize the internal and external labeling of disks and diskettes to facilitate retrieval of current as well as future accessibility. Include title/subject, date(s), description instructions, and identification of the equipment on which the records were created.

(4) Avoid inadvertent destruction of records by using software which requires that before a document can be created, the user must list whether the item is a record, the SSIC, and disposition instructions. If a variety of application software is used on the same machine, require the user to identify which application software is used.

(5) Consider the personnel turnover when preparing indexes to electronic records. Also, consider what indexes will be required by persons to whom the records may be transferred. Include such things as date, subject, sender, receiver, and number, such as, case, contract, purchase order, etc. Print out the index to ensure easy access.

(6) When possible, design systems that are compatible with a variety of other systems. In the event of system upgrading or replacement, this provides ease in converting the old system to the new and/or in designing the new system so that records in the old system continue to be usable until their authorized disposition date.

(7) Convert permanent records earmarked for eventual transfer to the NARA, to either magnetic tape, paper, or microfilm.

NOTE: The microfilming of permanent records must be approved by the CMC (HQSP-5); NARA must be involved in the decision to convert permanent records to magnetic tape. The NARA does not accept permanent records on diskettes.

(8) Ensure that electronic records are destroyed at the time of their authorized destruction. Records which have been authorized for destruction but which have been destroyed may be subject to Freedom of Information requests.

(9) When the same information is stored on more than one medium, such as paper and disk, ensure the disposition instructions for all copies are contained in current disposition instructions.

d. Electronic Records Standards

(1) Following is a listing of the National Bureau of Standards (NBS) Federal Information Processing Standards Publications (FIPS PUBS) that are relevant to records creation, storage and transmission using personal computers or other electronic equipment. Those publications identified with an asterisk are mandatory.

- (a) FIPS PUB 46\* Data Encryption Standard.
- (b) FIPS PUB 48 Guidelines on Evaluation of Techniques for Automated Personnel Identification.
- (c) FIPS PUB 51\* Magnetic Tape Cassettes for Information Interchange 3.8.10mm (0.150 in) Tape of 32 BPMM (800 BDI) Phase Encoded.
- (d) FIPS PUB 52\* Recorded Magnetic Cartridge for Information Interchange, (.30mm (0.250 in)), (3 BPMM (1600 BDI)), Phase Encoded.
- (e) FIPS PUB 54\* Computer Output Microfilm (COM) Formats and Reduction Ratios, 16mm and 105mm.
- (f) FIPS PUB 65 Guidelines for ADP Risk Analysis.
- (g) FIPS PUB 73 Guidelines for Security of Computer Applications.
- (h) FIPS PUB 74 Guidelines for Implementing and Using the NBS Data Encryption Standard.
- (i) FIPS PUB 81\* DES Modes of Operation.

- (j) FIPS PUB 82 Guidelines for Inspection and Quality Control for Alphanumeric Computer Output Microform.
- (k) FIPS PUB 83 Guideline on User Authentication Techniques for Computer Network Access Control.
- (l) FIPS PUB 91\* Magnetic Tape Cassettes for Interchange, Dual Track Complimentary Return-to-Bias (CRB). Four states recording on 3.81mm (0.150 in) tape.
- (m) FIPS PUB 93\* Parallel Recorded Magnetic Tape Cartridge for Information Interchange. 4-Track, 6.30 (0.250 in) 63 BPM (1600 BDI) Phase Encoded.
- (n) FIPS PUB 98\* Message Format for Computer-Based Message Systems.
- (o) FIPS PUB 108\* Alphanumeric Computer Output Microform Quality Test Slide.

e. Judicial Use of Records

(1) The Federal Rule of Evidence (Rule 803(8)) provides that official records may be admitted as evidence in lieu of the personal appearance of the official responsible for the activity. The text of the rule is:

"The following are not excluded by the hearsay rule, even though the declarant is available as a witness:

"(8) Public records and reports. --Records, reports, statements, or data compilations, in any form, of public offices or agencies, setting forth (A) the activities of the office or agency, or (B) matters observed pursuant to duty imposed by law as to which matters there was a duty to report, excluding, however, in criminal cases matters observed by police officers and other law enforcement personnel, or (C) in civil actions and proceedings and against the Government in criminal cases, factual findings resulting from an investigation made pursuant to authority granted by law, unless the sources of information or other circumstances indicate lack of trustworthiness."

(2) In the case of electronic records, the trustworthiness of the records could easily be called into question and the record(s) refused as evidence if the following procedures are not established and followed:

- (a) The date of the record can be determined.
- (b) The date of any alteration is automatically recorded by the system.
- (c) Evidence that the document(s) was authorized to be issued (signed) by an appropriate agency official.

f. Electronic Record Storage Medium. Records may be stored on paper, microfilm, magnetic tape, or discs, and optical digital data disks. Each medium has characteristics that may or may not make it suitable, depending upon the requirements. A comparison of various media for information storage and retrieval systems are at appendix A to this enclosure, page 32.

(1) Ensure that the medium and system chosen to store records can satisfy basic requirements such as:

- (a) The need to quickly retrieve the information.
- (b) The need for more than one person to have the information simultaneously.
- (c) The need to retain the information until the authorized disposition date.

(2) Consider transferring from one medium to another information that must be retained when the transfer will:

- (a) Reduce current cost.
- (b) Enhance the usefulness of the information.
- (c) Provide the required long term preservation of the information.

(3) Ensure that the converted records accurately reflect the information in the old record. Consider the following points prior to undertaking conversion projects:

- (a) Will the information be easier to use?
- (b) Will new equipment be required?
- (c) Will the conversion result in more cost-effective information management?
- (d) Will the ability to process the information be affected?
- (e) Will the exchange of information be effected?
- (f) Will the integrity of the records be enhanced?
- (g) Will the new medium be satisfactory to NARA for permanent records. (Refer to paragraph 12c(7).)

g. Security. Listed below are special precautions that should be taken to ensure security of data electronically.

(1) Check electrical power frequently to prevent equipment malfunction that can affect the records.

(2) Keep equipment and magnetic media clean. Refer to paragraph 12i below.

h. Software for Electronic System. The software selected determines the success or failure of an electronic recordkeeping system. The following considerations will help in evaluating software.

(1) Ensure that information stored on the current system is usable or convertible so that it may be used on the new system.

(2) Develop procedures that will ensure the security of information without significantly hampering legitimate access to the information.

(3) Ensure that identifying information is incorporated in a manner easily used by records creators.

(4) Ensure that the system is able to accommodate the data transportability specifications for those permanent records that will be transferred to NARA.

i. Flexible Disk Care and Handling

(1) Maintain a clean working environment. Finger oil, smoke, food and drinks, abrasive material (such as dust), pencil eraser debris, etc.) are typical contaminants that cause data loss. Read/write heads last longer when used with clean media.

(2) Never make finger contact with the exposed media surface through the elongated, oval slot in the envelope where the head-to-disk access (contact) is made. Also avoid touching the exposed media surface area near the hub. These slotted regions offer access to the media surfaces by contaminants particularly fingerprint oils and dirt. Some of the new state-of-the-art micro-sized flexible disks which have 76mm (3.0 in) to 102mm (4.0 in) diameters have automatic shutter mechanisms which have been designed to prevent finger contact problem.

(3) Clean the flexible disk drive regularly, particularly at its insertion slot position. Dirt and dust can be picked by the disk during insertion.

(4) Clean the read/write heads on a regular basis. (Note--Some flexible disk head and drive manufacturers will invalidate their warranties if some type of head cleaners are used. Contact individual manufacturers for head cleaning instructions.)

(a) Isopropyl alcohol diluted on a lint-free swab will clean contaminants from the head. Exert minimum force on the delicate tension springs.

(b) When available, use cleaning kits which employ flexible disks made of a special material as the rotating media rather than the magnetic media of a regular disks. The cleaning material is either run dry or is wetted with a cleaning fluid; the head is then lowered onto the surface and cleaned under rotation.

(c) Suggest cleaning the flexible disk after each 40 operational hours or as soon as data errors appear, whichever occurs first.

(5) Always return the flexible disks into its protective envelope after it is used. This prevents contamination and physical damage to the media. Do not lose the envelope. Do not scatter the disks around on table tops and desks in a random fashion.

(6) Do not flex or fold the flexible disks. Avoid bending the disk when loading into or extracting it from the drive. Although the envelope may recover, the internal media may be damaged.

(7) Do not put a rubber band or a paper clip onto the flexible disk envelope. The rubber band may cause the disk to remain bent permanently after long-term storage. The paper clip may emboss the media and cause permanent data losses due to head-to-media separation. A warped disk does not rotate properly. Use micro-sized flexible disks which are enclosed in rigid plastic envelopes which do not bend or flex whenever possible.

(8) Always write on the label before it is applied to the disk. However, if the original label is used, do not write on it with a ballpoint pen; use a soft, fiber-tipped pen. A ballpoint pen can emboss the surface of the disk and cause permanent surface defects and data losses.

(9) Never erase the label on a flexible disk cartridge. Cross out previous information; remove and replace label when full. Erasure can be a source of contamination. In fact, do not write on the label with a lead pencil. Do not paste new label over the old label and do not cover any flexible disk holes with the new label.

j. Environmental Standards. Except as indicated in subparagraphs j(2) through j(7) below, the following environmental standards apply to the operation, storage, and transportation of flexible disk cartridges.

(1) General

(a) Operating and Storage

Temperature: 50°F to 125°F (10.0°C to 51.6°C).

Relative humidity (RH): 8% to 80%

Wet bulb reading: Not to exceed 85°F (29.4°C)

(b) Transportation

Temperature: -40°F to 125°F (-40.0°C to 51.6°C)

RH: 8% to 90%

(2) 200mm (8-inch) Flexible Disk Cartridge (single-sided, 48 tracks per inch (tpi))

(a) Operating and Storage. Condition at least 1 hour before operating.

Note: Condition the disk in the same environment in which the disk drive is operating. There shall be no moisture in or outside the cartridge.

(3) 200mm (8-inch) Flexible Disk Cartridge (double-sided, 48 tpi)

(a) Operating and Storage. Condition at least 24 hours before operating. Rate of temperature change is not to exceed 36°F (20°C) per hour.

(b) Transportation. No specification for relative humidity.

(4) 130mm (5-1/4 in) Flexible Disk Cartridge (single-sided)

(a) Operating and Storage. Condition at least 1 hour before operating.

(b) Transportation. No specification for relative humidity.

MCO 5210.11D

27 Jan 1986

(5) 130mm (5-1/4 in) Flexible Disk Cartridge (two-sided, double-density, 48 tpi).

(a) Operating and Storage. Condition at least 24 hours before operation. Rate of temperature change shall not exceed 36°F (20°C) per hour.

(6) 130mm (5-1/4 in) Flexible Disk Cartridge (double-sided, 96 tpi).

(a) Operating and Storage

Temperature: 50°F to 115°F (10.0°C to 46.1°C)

RH: 20% to 80%

Wet bulb reading: Not to exceed 80°F (26.6°C)

Condition at least 24 hours before operating. Rate of temperature change shall not exceed 36°F (20°C) per hour.

(7) 90mm (3-1/2 in) Flexible Disk Cartridge

(a) Operating

Temperature: 50°F to 140°F (10°C to 60°C)

Rate of temperature change shall not exceed 36°F (20°C) per hour.

(b) Storage

Temperature: 39.2°F to 127.4°F (4°C to 53°C)

RH: 8% to 90%

(c) Transportation

Temperature: 40°F to 140°F (-40°C to 60°C)

(8) Failure to observe the temperature and humidity (T-H) guidelines in paragraph 12j above, can result in media damage. Be careful about the storage location. Acceptable temperatures and humidities are normally maintained in an operating area such as an office. However, the temperatures in a closed, hot, stationary, automobile in the sunlight may exceed the upper limits. Excessively cold temperatures may make the disk rigid. Acclimatize these affected disks in a normal T-H environment for several hours before using. Do not use flexible disk as a place mat.

(9) Discontinue the use and acquisition of flexible disks which appear to shed excess debris and cause rapid head wear. They may have abrasive surfaces which create considerable friction and heat and usually have short operating lives. The wear rate for a flexible disk compared to a computer tape is accelerated by the fact that the disk heads will pass over and make contact with the same point on the second. A rapid decrease in the disk signal level may indicate a rapidly wearing disk surface. Built-in disk coating lubricants reduce this wear effect.

(10) Never place a magnet of any kind onto the envelope surface of a flexible disk cartridge. These include typical bar magnets found in offices, coat and picture hanger magnets, flashlight magnets, magnetized screwdrivers, etc. Keep magnets at least 76mm (3.0 in) away from recorded disks. This applies to both rigid and flexible disks. Exercise complete control over magnets in the office and the data processing workplace.

(11) Store the flexible disk cartridge in a vertical position in a storage container.

(a) Support the vertically stored disks with the container so that they cannot lean or sag. Make certain that no pressure is exerted against the disk envelope.

(b) For safe storage, do not use cardboard containers; use more rigid type, such as a hard plastic unit.

(12) Should reinforcing flexible disk hub rings be installed by the user?

(a) Special rings have been developed for the purpose of reducing both the slippage of flexible disk and inner media hold damage under rotational conditions. At present, the question of the efficacy of these user-installed rings and their possible deleterious effects if unresolved for the larger diameter 203mm (8.0 in) and 133mm (5.25 in) flexible disks.

(b) Micro-disks with 76mm (3.0 in) to 102mm (4.0 in) diameters, which have recently been introduced into the market, are manufactured with a rigid hub material adhesively bound to the mylar surface. These appear to eliminate the need for these user-installed hub rings.

(13) Maintain a schedule for checking, cleaning, or replacing associated air filters. Dirt causes data loss and media damage.

(14) Use the proper type of tab to cover the write protect notch on the disk envelope. Do not use any tab material which leaves a sticky residue; use the tabs which are supplied with the disks.

(15) Make copies of vital or master flexible disks and store in alternate locations. Do this as soon as possible before problems arise.

(16) Electrical discharge produced by static electricity cannot damage or alter the data which has been correctly recorded and stored on the flexible disks. However, electrical noise produced by arcing due to static electricity, may induce unwanted pulses into the sensitive electronic system.

(17) Inspect and replace worn head pads if necessary. A worn pad may cause rapid debris formation and a change in signal level.

(18) See appendix A to enclosure (3), page 32 for a Comparison of Media for Information Storage and Retrieval.

(19) For additional detail see:

(a) Care and Handling of Computer Magnetic Storage Media. NBS Special Publication 500-101. June 1983, National Bureau of Standards, Department of Commerce. For sale by The Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, order number: SN 003-003-02468-4.

(b) FIRM 201-34.006, and NARA regulations (36 CFR Ch. XII) which furnish guidelines on the care and handling of magnetic computer tape. ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

RECOMMENDATION FOR NEW OR REVISED RECORDS RETENTION STANDARDS

ACTIVITY	NAME & TEL. NO. OF CONTACT REPRESENTATIVE
COMMANDING OFFICER FISCAL DIVISION, DISBURSING BRANCH EXAMINATION SECTION MARINE CORPS FINANCE CENTER 1500 EAST BANNISTER RD. KANSAS CITY, MISSOURI 64197	
	H.C. JONES, FISCAL OFFICER, AUTOVON 999-7420

1. FILE DESCRIPTION

A. TYPE (PAPER DOCUMENT, CARDS, MICROFORM, MAGNETIC TAPE), SIZE, INCLUSIVE DATES, VOLUME:

PAPER DOCUMENT OF INDIVIDUAL MILITARY PAY RECORDS OF OFFICER AND ENLISTED PERSONNEL SEPARATED FROM THE USMC DURING THE PERIOD 1 JANUARY 1981 THRU 31 DECEMBER 1984. APPROXIMATELY 10,000 CASES FOR A TOTAL VOLUME OF APPROXIMATELY 600,000, 8 X 10 1/2" PAPER DOCUMENTS.

B. FILE ARRANGEMENT (SUBJECT IDENTIFICATION, NUMERICAL, ALPHABETICALLY, ETC.):

TRIPLE TERMINAL DIGIT, SOCIAL SECURITY NUMBER SEQUENCE

C. NATURE AND FREQUENCY OF USE (DAILY, WEEKLY, ETC.):

DAILY--APPROXIMATELY 200 ACTIONS

2. DESIGNATION:

(1) ORIGINAL\_\_ THIS OFFICE NO OTHER (SPECIFY) CMC (CODE MMRB)

(2) COPIES \_\_ THIS OFFICE\_\_ OTHER (SPECIFY) \_\_\_\_\_

(3) OFFICE OF RECORD (OFFICIAL FILE)

NO THIS OFFICE

\_\_ OTHER (SPECIFY) DMC (CODE MMRB)

3. RETENTION STANDARDS: (CITE SPECIFIC PARAGRAPH FROM CURRENT EDITION OF SECNAVISNT 5212.5

(1) NEW SUBMISSION: YES \_\_ NO X

(2) REVISED SUBMISSION: YES X NO \_\_

(3) CURRENT RETENTION STANDARD: SECNAVINST P5212.5B, PART 11, CHAP. 7, PAR 7430 (7) (S) - 10 YRS

(4) PROPOSED RETENTION STANDARD: PERMANENT

JUSTIFICATION: THESE RECORDS ARE REQUIRED IN CONNECTION WITH AN ORDER ISSUED BY THE PRESIDENT OF THE UNITED STATES

SUBMITTED BY: \_\_\_\_\_ DATE: 30SEP85  
COL. J.J. GREEN, HEAD, C-4 DIV  
MCFC, KC, MO.

(NOTE: INCLUDE A REPRESENTATIVE SAMPLE OF THE RECORDS SAMPLE OF FORM(S) MUST BE FILLED IN

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-1

RECOMMENDATION FOR NEW OR REVISED MACHINE READABLE RECORDS  
STANDARDS

1. SYSTEM TITLE	
2. OFFICIAL(S) RESPONSIBLE FOR SYSTEM (NAME)	3. CODE ROOM NO. TEL. NO.
A. SPONSOR	A.
B. SYSTEM COORDINATOR	B.
4. FILE DESCRIPTION	
A. FILE TITLE (USE SEPARATE SHEET FOR EACH FILE) :	
B. PURPOSE OF FILE	
C. TYPE OF FILE OUTPUT, ARRANGEMENT, VOLUME	
D. INCLUDE DATES OF FILE	E. UPDATE (SPECIFY PERIOD:
F. FILE FORMAT (ENCLOSE FORMAT & DATA ELEMENTS DESCRIPTION:	G. DUPLICATE ELSEWHERE
5. CURRENT RETENTION PERIOD (CITE SPECIFIC PARAGRAPH FROM CURRENT RECORDS DISPOSITION MANUAL) :	
6. RECOMMENDED RETENTION STANDARD	
7. JUSTIFICATION FOR RECOMMENDED RETENTION STANDARD	
8. FILE CLASSIFICATION AND/OR RESTRICTIONS	



MCO 5210.11D  
27 Jan 1986

S A M P L E FILE FOLDER IDENTIFICATION			DISPOSAL ACTION LABEL
FILE IDENTIFICATION	DATE		
1000 MILITARY PERSONNEL (GENERAL)	1 JAN 1985 31 DEC 1985		JAN 1988 - DESTROY SECNAVINST 5212.58, Part II, Chap. 1, Par. 1000(2) 2 YRS.
3000 OPERATIONS AND READINESS (GENERAL)	1 JAN 1985 31 DEC 1985		JAN 1991 - TRANSFER TO THE WASH. NATL. RECORDS CENTER, WASH., D.C. 20409 SECNAVINST 5212.58, Part II, Chap. 3, Par. 3000(5) PERM
5400/1 REORGANIZATION MCS, QUANTICO	1 JAN 1985 31 DEC 1985		JAN 1991 - TRANSFER TO THE WASH. NATL. RECORDS CENTER, WASH., D.C. 20409 SECNAVINST 5212.58, Part II, Chap. 5 Par. 5000(1)(a) PERM
7110 BUDGET ESTIMATES/PREPARATION	1 OCT 1985 30 SEP 1986		OCT 1987 - DESTROY SECNAVINST 5212.58, Part II, Chap. 7 Par. 7110(2) 1 YR
10660/1 BRANCH OFFICE SUPPLIES	1 JAN 1985 31 DEC 1985		JAN 1988 - DESTROY SECNAVINST 5212.58, Part II, Chap. 10 Par. 10660(1) 2 YRS
11100 HOUSING	1 JAN 1985 31 DEC 1985		JAN 1991 - DESTROY SECNAVINST 5212.58, Part II, Chap. 11 Par. 11100(1)(b) 5 YRS

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-3

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-3

SAMPLE  
FILES OUTLINE

FILE NUMBER	SUBJECT	RETENTION STANDARDS
1000	MILITARY PERSONNEL (GENERAL)	PERM: Transfer to the Mechanics- burg PA. when 5 years old. SECNAVINST 5212.5B, part
II,		chap. 1, par. 1000(1)(c)
1010	INSPECTIONS	TEMP. SECNAVINST 5212.5B, part II, chap. 1, par. 1010(1)-2 yrs.
5120/1	BOND DRIVE	TEMP. SECNAVINST 5212.5B, part II, chap. 5 par. 5000(2)(b)-2yrs
5320/1	BILLETS AND CEILINGS	TEMP. SECNAVINST 5212.5B, part II, chap. 5, par. 5521(3)-2 yrs
5521/1	NAME CHANGES AND PERSONNEL CLEARANCE	TEMP. SECNAVINST 5212.5B, part II, chap. 5, par. 5521(3)-2 yrs
6100	PHYSICAL FITNESS	TEMP. SECNAVINST 5212.5B, part II, chap. 6, par. 6000(1)(c)-2 yrs
7100	BUDGETING	TEMP. SECNAVINST 5212.5B, part II, chap. 7, 7100(3)-2 yrs

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987

GSA FEDERAL RECORDS CENTERS AREAS/RECORDS SERVED

Marine Corps field activities shall transfer their records to the nearest or appropriate center as indicated herein unless specific authority for an exception to these general provisions is authorized in specific paragraphs listed in the current edition of SECNAVINST 5212.5.

GSA Region	Area/Records Served	Mailing and Shipping Address
	All personnel records of separated civilian employees; pay records of all civilian employees; and medical records of civilian employees of the Army, Navy, and Air Force accumulated by naval activities; and records of agencies in greater St. Louis area (Missouri only).	National Personnel Records Center, GSA (Civilian Personnel Records), 111 Winnebago Street St. Louis, Missouri 63118-4199 FTS 8-279-5722 Local 314-425-5722
	Marine Corps military personnel records.	Transfer in accordance with the current edition of MCO P1070.12 (Marine Corps Individual Records Administrative Manual (IRAM))
	District of Columbia, Maryland, West Virginia/ permanent and temporary records of Marine Corps Development and Education Command, Quantico, Virginia, Headquarters Marine Corps and FMFLANT. Permanent Marine Corps records except military personnel records.	Washington National Records Center 4205 Suitland Road Suitland, Maryland 20409 FTS 8-763-7000 Local 301-763-7000
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island/temporary Marine Corps records	Federal Archives & Records Center, GSA 380 Trapelo Road Waltham, Massachusetts 02154-6399 FTS 8-839-7742 Local 617-647-8745
2	New York, New Jersey Puerto Rico, Virgin Islands and the Panama Canal Zone/ temporary marine Corps records.	Federal Archives & Records Center, GSA Bldg. 22, Military Ocean Terminal Bayonne, New Jersey 07002-5388 FTS 8-341-6455 Local 201-858-7161
3	Delaware and Pennsylvania/ temporary Marine Corps records.	Federal Archives & Records Center, GSA 5000 Wissahickon Avenue Philadelphia, Pennsylvania 19144-4898 FTS 8-486-5588 Local 215-951-5588
4	Kentucky, North Carolina South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida/ temporary Marine Corps records.	Federal Archives & Records Center, GSA 1557 St. Joseph Avenue East Point, Georgia 30044-2593 FTS 8-246-7438 Local 404-763-7438
5	Indiana, Ohio, and Michigan /temporary Marine Corps records.	Federal Archives & Records Center, GSA 3150 Springboro Road Dayton, Ohio 45439-1883 FTS 8-774-2878 Local 513-225-2878
5	Illinois, Wisconsin, and Minnesota/temporary Marine Corps records.	Federal Archives & Records Center, GSA 7358 So. Pulaski Road Chicago, Illinois 60629-5898 FTS 8-353-0164 Local 312-353-0164
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area/temporary Marine Corps records	Federal Archives & Records Center, GSA 2306 E. Bannister Road Kansas City, Missouri 64131-3011 FTS 8-926-7271 Local 816-926-7271
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico/ temporary Marine Corps records.	Federal Archives & Records Center, GSA 4900 Hemphill Street, Bldg. 1, Dock 1 Fort Worth, Texas 76115-3304 FTS 8-334-5515 Local 817-334-5515

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

- |    |   |  |
|----|---|--|
| 8  | North Dakota, South Dakota, Colorado, Wyoming, Utah, and Montana/temporary Marine Corps records.  | Federal Archives & Records Center, GSA<br>Bldg. 48, Denver Federal Center<br>P.O. Box 25307<br>Denver, Colorado 80225-0307<br>FTS 8-234-5271<br>Local 303-234-5271 |
|    | Nevada (except Clark County), California (except Southern California), and American Samoa/temporary Marine Corps records  | Federal Archives & Records Center, GSA<br>1000 Commodore Drive<br>San Bruno, California 94066-2350<br>FTS 8-470-9003<br>Local 415-876-9003                         |
| 9  | Clark County, Nevada, Southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Imperial, Inyo, and San Diego), and Arizona/temporary Marine Corps records. | Federal Archives & Records Center, GSA<br>24000 Avilla Road<br>Laguna Niguel, California<br>92677-1085<br>FTS 8-796-4220<br>Local 714-831-4220                     |
| 10 | Washington, Oregon, Idaho, Alaska/temporary Marine Corps records.   | Federal Archives & Records Center, GSA<br>6125 Sand Point Way<br>Seattle, Washington 98115-7999<br>FTS 8-399-4502<br>Local 206-442-4502                            |

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

**SAMPLE**

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.		PAGE	OF
1. TO		(Complete the address for the appropriate records center serving your area)		1	1
2. FROM		JUDGE ADVOCATE DIVISION MILITARY LAW BRANCH, ADMINISTRATIVE SECTION MARINE CORPS BASE, QUANTICO, VIRGINIA 22139			
3. AGENCY		F. R. BROWN, LTJOL., USMC, BY DIRECTION			
4. RECORDS		JAN 1985			
5. AGENCY		TRANSFERRING AGENCY LIAISON OFFICE (Name, office and telephone No.)			
6. RECORDS		JAN 1985			
7. AGENCY		JAN 1985			
8. RECORDS		JAN 1985			

NOTE: MPMC STAFF AGENCIES WILL TAKE THE FOLLOWING ACTIONS:

- ITEM 2 SHOULD BE BLANK
- ITEM 10 SHOULD READ AS FOLLOWS:

COMPONENT OF THE MARINE CORPS  
HEADQUARTERS, U.S. MARINE CORPS  
WASHINGTON, D.C. 20380

ACCESSION NUMBER		VOLUME		AGENCY		SERIES DESCRIPTION		DISPOSAL AUTHORITY		DISPOSAL DATE		COMPLETED BY RECORDS CENTER	
NO	PT	NUMBER	(1/1)	NUMBER	(1/1)	NUMBER	(1/1)	NUMBER	(1/1)	NUMBER	(1/1)	NUMBER	(1/1)
127	06	0001	1	1	1	1	1	1	1	1	1	1	1
ENTER THE NAME AND A STATEMENT OF THE MAJOR FUNCTION PERFORMED BY THE TRANSFERRING OFFICE													
ORIGINAL REPORTS OF INVESTIGATION ARRANGED NUMERICALLY - CALENDAR YEAR 1985													
R-0401-0555-01													
R-0402-0555-01													
R-0403-0557-01													
R-0404-0558-01													
SUMMARY DUBS MARITAL CASES NOT INVOLVING A BAD CONDUCT DISCHARGE - JAN-319851145													
A - D													
C - C													
H - J													
F - B													
O - Z													
127	06	0002	5	1 thru 5	1	1	1	1	1	1	1	1	1
SECRETARY INST 5212.58 PAR 5520(1)													
SECRETARY INST 5212.58, PAR 5813(1)(a)													

A-7

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-7

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

**Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.

(e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference series, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal not required (specify in column (f))
W	Restricted use—witnessed disposal required (specify in column (f))
N	No restrictions

(h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

(j) **Location.** The records center annotates the shelf location of the first carton for each series of records.

(k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10a, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME JUDGE ADVOCATE DIVISION ADMINISTRATIVE SECTION MCB, QUANTICO, VIRGINIA 22184		DATE 1 Jul 85	PAGE 2 OF 2
ACCESSION NUMBER		VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (NWA inclusive dates of records)	1. NO. OF RECORDS	DISPOSAL AUTHORITY (Substitute and item number)	DISPOSAL DATE	COMPLETED BY	RECORDS CENTER
NO	PT	NUMBER	(a)	(b)	(c)	(d)	(e)	(f)	(g)
127	86	0003	1 THRU 4	<p>SPECIAL COURTS MARTIAL CASES NOT INVOLVING A BAD CONDUCT DISCHARGE 1 JAN - 31 DEC 1995</p> <p>1 A - F 2 C - L 3 M - R 4 S - Z</p> <p>NOTE: 1. LENSINT INDEXES MAY BE PREPARED ON BOND PAPER AND ATTACHED TO THE INDEX. 2. BUNDLE INDEXES ARE PREPARED BY IDENTIFICATION NUMBER, NOT BY NAME, SECURITY CLASSIFICATION, DISPOSITION AUTHORITY, DATE PREPARED, TYPE OF AGENCY.</p> <p>2. DO NOT PACK DIFFERENT SERIES OF RECORDS WITH DIFFERENT DISPOSITION DATES IN THE SAME CONTAINER.</p>	R	SECNAVINST 5212.5B PAR. 581811(g)			

27 Jan 1986  
 STANDARD FORM 135-A (Rev. 8-78)  
 Prescribed by GSA  
 FPMR (41 CFR) 101-11.4  
 N. A. 000-1071-4-041-330/2000  
 Appendix A to

A-9

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

27 Jan 1986

CONTINUATION

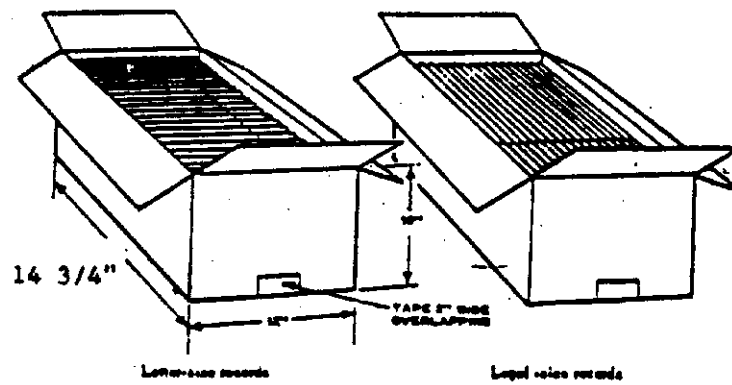
A-9

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

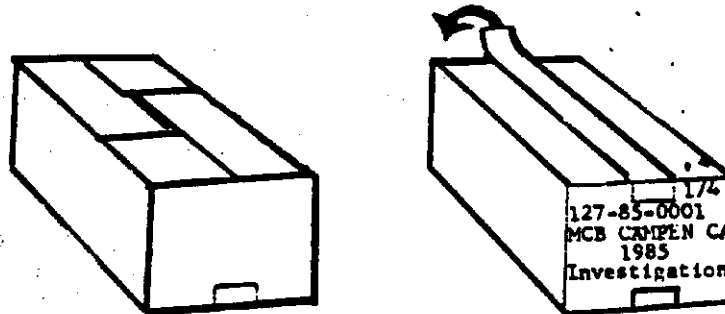
MCO 5210.11D  
27 Jan 1986

MCO 5210.11D  
27 Jan 1986

INSTRUCTIONS FOR PACKING RECORDS IN STANDARD SIZE RECORDS SHIPPING CONTAINER



Packing arrangements for records transfer or retirement



Methods of closing top flaps of boxes for transferring records to a records holding area

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-10

RECORDS SHIPPING CONTAINER

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

A-10



\* APPROPRIATE CHARGES OF FEDERAL RECORDS CENTERS  
FOR MICROGRAPHICS SERVICES

BASIC FILMING

Types of Documents	Type of Service	Fee
Documents which can be handled in an automatic feed tray, such as index cards, card files, checks, and other small documents of uniform size, thickness, and and composition. Film can be used in roll, cartridge, or jacket systems.	16mm Rotary Auto-Feed	
	3" x 5" to 5" x 8"	\$ 0.02 per image
Documents, such as cards, forms, and letters, which do not exceed 11" x 17" and 11" X 17" can pass safely through a rotary camera. Film can be used in roll, cartridge, or jacket systems.	Letter Size	\$ 0.04 per image
	16mm Rotary Hand-fed	
	3" x 5" x 8"	\$ 0.04 per image
Bound volumes or other documents which, because of their size or condition, cannot be fed through a rotary camera can be filmed on a 16mm planetary camera. Film can be used in roll, cartridge, or jacket systems.	Letter Size	\$ 0.06 per image
		\$ 0.08 per image
	16mm Planetary	
	Up to 11" wide	\$ 0.08 per image
Oversized documents such as engineering drawings or maps up to 36" x 48". Film can be used in roll, cartridge, or jacket systems.	12" to 16" wide	\$ 0.10 per image
	35mm Planetary	
	7" to 11" wide	\$ 0.25 per image
	16" to 36" wide	\$ 0.65 per image

MICROFICHE

Types of Documents	Type of Service	Fee
Documents that need to be kept together as a unit and are normally not updated, such as technical reports or closed files. At standard 24x reduction, a single fiche is limited to 98 images.	105mm	\$ 0.05 per image
		\$ 3.50 minimum per fiche

JACKETS

Types of Documents	Type of Service	Fee
Documents that need to be kept together as a unit and need occasional updating by adding or deleting documents, such as open loan files or policy holder files.	16mm & 35mm	Basic filming costs (above) plus cost of jacket and mounting.

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

MCO 5210.11D  
27 Jan 1986

APPROXIMATE CHARGES OF FEDERAL RECORDS CENTER  
FOR MICROGRAPHIC SERVICES

Type of Service	Fee
DEVELOPING ROLL MICROFILM	
16mm x 100 foot roll	\$ 4.50 per roll
35mm x 100 foot roll	\$ 5.50 per roll
DUPLICATION SERVICES (DIAZO)	
16mm x 100 foot roll	\$ 7.00 per roll
35mm x 100 foot roll	\$ 8.50 per roll
Microfiche and microfilm jackets	\$ 0.30 each
Aperture Cards	\$ 0.25 each
DUPLICATION SERVICE (SILVER)	
16mm x 100 foot roll	\$ 12.00 per roll
35mm x 100 foot roll	\$ 25.00 per roll
105mm x 100 foot roll	\$ 45.00 per roll
APERTURE CARDS	
Aperture cards and mounting	\$ 0.40 per card
Mounting only (cards furnished by agency)	\$ 0.35 per card
MICROFILM JACKETS	
Jackets and loading 16mm/35mm	\$ 0.75 per jacket
CARTRIDGES	
Kodak-type cartridge 16mm	\$ 3.50 per cartridge
Kodak-type magazine 16mm	\$ 0.70 per magazine
3M-type cartridge 16mm	\$ 2.50 per cartridge
Loading fee	\$ 1.50 each
DOCUMENT PREPARATION	\$ 16.00 per hour

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

COMPARISON OF VARIOUS MEDIA FOR INFORMATION STORAGE AND RETRIEVAL

Characteristics	Medium				
	Paper	Microform	Magnetic Tape	Diskette	Optical Digital Data Disk (read only)
1. Life expectancy	Very good if paper quality, ink, and storage conditions are good. (70-100 yrs.)	Very good if properly processed and stored. (Silver - 100's of years) (Diaz and vesicular - 100 years)	Good. Subject to equipment malfunction or magnetic erasure. (10-12 yrs. with periodic exercising)	Good, subject to equipment malfunction or magnetic erasure (10-15 yrs.)	Manufacturers claims are 10 years.
2. Acceptable for transfer of permanent records to NARA?	Yes	Yes, if silver halide	Yes	No	No
3. Special equipment required to read?	No	Yes for normal operation. Simple optics will suffice in emergencies.	Yes	Yes	Yes
4. Data easy to alter unnoticed?	No	No	Yes	Yes	No
5. Data may be easily accidentally destroyed.	No	No	Yes	Yes	No
6. Complex indexing easily accomplished?	No	No, (Yes if computer assisted retrieval system is used)	Yes, with special software	Yes, with special software	Yes, with special software
7. Data easy to retrieve?	Volume Small-Yes Large-No	Depends upon indexing & labeling scheme. Computer assisted retrieval very helpful for large collections.	Yes, if properly indexed	Yes, if properly indexed	Yes, if properly indexed
8. Data easy to electronically process after retrieval?	No	No	Yes	Yes	Machine readable-Yes Raster scan-No

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)

RETRIEVAL

Appendix A to  
ENCLOSURE (3)  
Ch 1 (29 Oct 1987)